



MSHA HANDBOOK SERIES

U. S. Department of Labor
Mine Safety and Health Administration
Educational Policy and Development
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"

Education and Training Procedures

PREFACE

This handbook provides guidelines and procedures for the Mine Safety and Health Administration (MSHA) to carry out the Federal Mine Safety and Health Act of 1977 (Mine Act) and Title 30, Code of Federal Regulations, Parts 46 and 48. The Mine Act and these regulations provide for mandatory health and safety training, compliance assistance to mine operators and grants to States for education and training programs. The procedures in this handbook replace previously issued directives on this subject. Compliance related instructions in the MSHA Program Policy Manual remain in effect.

A handwritten signature in black ink, reading "Jeffrey A. Duncan", written over a horizontal line.

Jeffrey A. Duncan
Director for Educational
Policy and Development

EDUCATION AND TRAINING

PROCEDURES HANDBOOK

AUTHORITY

The guidelines contained in this handbook are in accordance with the requirements of the Federal Mine Safety and Health Act of 1977; Title 30, Code of Federal Regulations, Part 48 and Part 46; and Agency policy.

PURPOSE

This handbook provides guidelines for the Mine Safety and Health Administration (MSHA) to carry out Sections 115, 502, and 503 of the Federal Mine Safety and Health Act of 1977 (Mine Act) and Title 30, Code of Federal Regulations (30 CFR), Part 48 and Part 46. These regulations provide for mandatory health and safety training (Section 115 and Parts 48 and 46), expansion of education and training programs for the mining community and technical assistance to mine operators (Section 502), and grants to States (Section 503).

RESPONSIBILITY

This handbook applies to training program activities within MSHA required by Sections 115, 502, and 503 of the Mine Act. The procedures contained within this handbook will be used in MSHA's Coal and Metal and Nonmetal Districts and in Educational Policy and Development's Educational Field Services Regions, particularly by training specialists and compliance specialists, to enforce training program requirements and related activities.

DIRECTIVES AFFECTED

Previous written procedures for field personnel on these subjects, including the Education And Training Procedures Handbook, PH91-III-1, dated January 1991, are superseded by this handbook.

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Chapter I - Approval of Training Plans

Section 115 of the Federal Mine Safety and Health Act of 1977 and Title 30, Code of Federal Regulations (30 CFR), Parts 46 and 48, require each operator of a coal, metal, or nonmetal mine to develop and implement an approved training plan. Operators must also properly implement any revisions or corrections to their plans.

Operators are not required to submit their Part 46 Training Plan to MSHA if it meets the minimum requirements stated in Sections 46.3(b)(1) through 46.3(b)(5). If operators choose not to file a Part 46 plan or any revisions to the plan with MSHA, they are still required to develop and implement the plan and the revisions at their mine.

The regulations allow state grantees, mining associations and educational institutions to have Part 48 Training Plans, but the regulations do not allow them to have their own Part 46 Training Plans.

This chapter outlines the procedures for approving 30 CFR Parts 46 and 48 training plans for mine operators, independent contractors, cooperatives, and others.

A. Training Plans (Part 48)

1. Plans and revisions are received electronically, by fax, mail, or hand-delivered to MSHA offices. The first MSHA recipient of the plan/revision will date stamp the plan immediately after receiving it. Electronic plans are stamped as of the date and time submitted and printed from the e-mail. Once printed, plans received electronically are processed the same as others (see Section C). The mine ID number, company and mine name appearing on the training plan are compared with information on the Legal Identity Report for the mine. If there is not a mine ID number, the District responsible for that mine will help the operator obtain one, as needed.
2. The approval period begins on the date the District receives the training plan. This period is normally 60 days, unless extended by MSHA.
3. A reviewer will:
 - a. Check each instructor listed on the Part 48 training plan to verify they are MSHA approved for those courses or programs. This information is available from the Denver Qualification & Certification Unit. If the instructor can not be found in the system, refer to Chapters II and VI of this handbook for instructor certification.

- b. Review each training plan to ensure that all the basic information required in Sections 48.3(a) and (c)/48.23 (a) and (c) is shown. In addition to a technical review, the reviewer determines if the plan addresses the mine specific aspects; i.e., extended cut mining, petitions for modification, CO monitoring systems, roof control and ventilation plans, etc. (Attachment I-A is a suggested guide for plan review.)
 - c. Recommend approval or disapproval to the District Manager.
4. If the plan or revision is in compliance, the District Manager will send written notification to the operator that the plan has been approved. If the plan or revision has been determined to be out of compliance, the District Manager may require changes in, or additions to, the program(s) in order to bring the plan into compliance. The District Manager or EFS specialist will advise the operator on the necessary revisions for approval. The operator is given the opportunity to make changes and submit the revised plan.

If the plan is not approved, the District Manager will notify the operator and the miners' representative in writing stating the reasons for disapproval. MSHA will provide written notice of approval or disapproval within 60 days from the date the plan was received, unless MSHA extends the time.

With the exception of adding/removing instructors, Part 48 plan revisions require approval by the District Manager before they are implemented. The appropriate District and field offices will maintain copies of approval letters and plans.

B. Training Plans (Part 46)

1. If submitted for approval, plans and revisions are received electronically, by fax, or mailed to the Regional Managers of Educational Field Services (EFS). EFS will date stamp the plan/revision immediately after receiving it. Electronic plans are stamped as of the date and time submitted and printed from the e-mail. Once printed, plans received electronically are processed the same as others (see Section C).
2. The approval period begins on the date EFS receives the training plan. This period is normally 30 days.
3. The following data will be entered into a database by EFS:
 - a. Date training plan was received,
 - b. Mine/Contractor ID Number,
 - c. Company Name,
 - d. Mine Name,
 - e. Address,

- f. New or Revision,
 - g. Name of EFS Specialist the plan was sent to for review, and
 - h. Date training plan was approved or date of alternative action.
4. An EFS Specialist will review plans submitted for approval to ensure that all the basic information required in Section 46.3 (b) is provided. The reviewer will determine if the plan is satisfactory or unsatisfactory. (Attachment I-B is a suggested guide for plan review.) If the plan does not contain the required information, MSHA will advise the operator or contractor on the necessary revisions for approval. The operator is given the opportunity to make changes and resubmit. After a second review, the plan is forwarded to the Regional Manager for approval or disapproval.
 5. The Regional Manager will notify the operator, miners or their representatives, of the approval or status of approval. This notification must take place within 30 calendar days.

C. Electronic System for Filing Training Plans

The widespread use of computers and the availability of communication through the Internet give the mining industry another method for preparing and filing their training plans. Mine operators, contractors and others may choose to develop and submit electronic versions of their Part 46 and Part 48 Training Plans via the U.S. Department of Labor's MSHA home page (www.msha.gov).

This online method for filing is strictly optional, but electronic preparation and filing has many advantages for operators and MSHA:

- contains user-friendly instructions
- prepares and maintains records that are consistent in format and design
- provides only required information that reduces the burden on operators
- easier to complete, update or revise
- increases likelihood that training programs are complete
- electronic filing offers quicker response than mail
- increases MSHA's effectiveness in obtaining accurate and up-to-date information

The electronic filing system includes an introduction to the program, general requirements, step-by-step instructions and links to other helpful resources, such as federal regulations, policy issues, and training products available from the Mine Health and Safety Academy. The electronic plan contains sections for training new miners, experienced miners or newly employed experienced miners, miners undertaking new tasks, annual refresher courses, and hazard training. Operators can select specific teaching methods, course materials and evaluation techniques from a list of choices for each training program.

1. System Access

The mine or contractor identification number (ID) is all that is necessary to access the system. A temporary number will be generated for those companies and organizations without an ID. The web site for this electronic training plan system is available at:

⇒ www.msha.gov/forms/pt48train.htm.

2. Lost Passwords

If a user misplaces the password, EPD Headquarters can retrieve the password. Do not ask the user to call Arlington. In order to ensure the security of information, please confirm their identity and association with that company. Then the MSHA person should call for that user and request the lost password for that ID. Please provide the ID, contact name, and phone number to Arlington. Generally, this information can be provided back to the user within a day. Once the password is provided, the user should use the link provided at the bottom of the Password page to change it. This will help to assure that the information is secure.

3. Filing / Submitting Procedures

When operators first file their training plans, they are required to complete the entire plan. When information on the training plan changes, operators are required to complete only the section(s) of the plan where a change has occurred in the information that was previously submitted.

If an operator has a complete paper plan and desires to file a revision online, the operator must also complete the General Information section. This is necessary because that information is needed for the e-mail notice that transmits the plan revision to MSHA. If this data is missing, it will delay the review of that revision. If the entire plan is to be converted into the electronic format, the operator must enter all of the company's training program information online into the system to complete their electronic training plan.

For Part 48 plans, operators are not required to submit changes involving instructors. For Part 46 plans, operators are not required to submit changes if the plan continues to meet the minimum requirements specified in Sections 46.3(b)(1) through 46.3(b)(5). As required by Part 48, operators must post on the bulletin board or provide to the miners a copy of the Part 48 training plan before they submit or implement the plan. Under Part 46, operators must post or provide to the miners a copy of the Part 46 training plan before they submit it to MSHA or, if they choose not to submit it to MSHA, before they implement the plan at the mine.

Just like paper plans, an electronic Part 48 Training Plan is sent to the appropriate MSHA District Manager. If operators choose to send a Part 46 Training Plan to MSHA, it will be sent to the appropriate Educational Field Services Eastern or Western Regional Manager.

4. Overview of the "MSHA Training Plan Advisor" System

At the beginning of the Training Plan Advisor system, users should read the screen information and follow directions as needed. The first few pages of the training plan system has an introduction to the system, links to resources (such as, Mine Academy training products and state grant programs), and allows entry of a mine/contractor ID number. Enter the ID number without the dash and indicate whether it is for a mine, contractor, or previously assigned temporary number. When there is no ID number, select the "No ID" button on the right side. The system will assign a unique number. Use that number when re-entering the system to access or change plan information.

The system then requests a password for that ID number. This password is case sensitive, so the user must remember it exactly as it was entered it. The system requires the password to complete or change the plan information; without it, a user can only view the information.

The system shows what name and address information MSHA has on record for that ID number. Users with a temporary ID number must enter this information. The ID number is used to identify the type of mine and the system automatically brings up the proper mine type. If there is no ID number or if this is a contractor ID, the user selects one of the five mine types (such as, Coal - Underground Mine or Metal/Nonmetal - Surface Operation).

After two more screens (Information Statement and Miners' Rights), the next page is considered the "main menu" (Training Plan Requirements) for the plan. It shows the mine type and contains the introduction about training plans, along with some general requirements. This page also has the selections for General Information (Cover Sheet) and each of the required training programs (such as, New Miner, Task, and Annual Refresher).

When a user clicks on the link for one of these sections, it goes to that program and requests information to complete that program. The user enters this information online by following the screen instructions. Throughout the screen pages, there are appropriate links to additional instructions, various lists, regulations and policy. Each training program section has a similar format for consistency: the subjects are listed in the same order as in 30 CFR; and requests input about Teaching Methods, Course Materials and Evaluation Methods. Each of these areas has a list of possible choices including a field to insert an "Other" choice not listed here. Some choices may already be checked.

This denotes that the item is mandatory and has been preselected. Following the regular subjects from 30 CFR, there is a place to list additional subjects that may be required because of special conditions at that mine.

When the training plan is updated, operators should add a statement in the "Remarks" box at the end of the section or program stating which information was changed. This will assist MSHA to more easily identify what was changed in the plan.

As you complete each section, the system expects certain information in each field. If you don't enter the required information or enter incorrect information, the system will generate an error report and ask you to go back before it can continue to the next section.

When you are finished entering information about all subjects and any remarks in the Remarks page, the system brings you back to the main menu screen. Then it shows the date that section was completed or revised, inserts a box for transmitting that section to MSHA, provides a link to view or print a copy of that section, and allows you to select another program to complete.

If you would like to review the applicable regulation or need further information about the item you're completing, please use the available link. If policy exists for that particular regulation, there is another link from the regulation to the policy.

For coal mines, there is an additional program that allows training for certified and qualified persons. This program may be added to the main Part 48 plan or submitted separately with its own cover sheet.

For underground mines, you also have the ability to complete a separate Part 48 plan for miners working at surface areas of the underground mine.

When the plan is completed, and has been shared with the miners, it can be submitted electronically to MSHA. The section(s) selected are attached to an e-mail message and transmitted to the appropriate office. If it is not the correct office, MSHA will forward it to the proper one. This may occur with contractors in the states that have two or more Districts (i.e., KY, PA, and WV). Or if desired, sections may be printed and mailed or faxed to MSHA for review.

5. Review and Evaluation of Electronic Plans

Since electronic training plans represent just another format, MSHA will follow essentially the same procedures used for hard copy (paper) plans. The following additional considerations or procedures apply:

Although the Training Plan Advisor system will minimize and possibly eliminate some common mistakes, the assigned MSHA District or EFS staff person should review the plan to ensure that all required sections are completed, all methods and materials for required subjects are selected, when required, times are included, etc. As for any plan, the reviewer will check to see if the subjects and individuals times are appropriate and realistic given the type of mine, history of violations, and accident/injury experience.

To check the status of a plan or what information is contained in the system for a particular ID number, go into the system and enter the ID on the Login page. Then, even without the password, click the link that allows you to "... browse the system." The next page will display the name and address of the mine or company on file and which plan type (Part 46 or Part 48) was started or completed. Proceed to the Training Plan Requirements page and the table toward the end of that page will show which training programs were completed, the last action (modified or submitted), the date and time of that action, and a link to print or view the report (in "read-only" mode) for that section.

[Blank Page]

PART 48 TRAINING PLAN/PROGRAM APPROVAL GUIDE

Company Name _____

Mine Name _____

MSHA ID Number _____

This guide does not contain requirements. It is an aid for evaluators reviewing training plans to check that all **appropriate** information is included in the plans. Some items will not apply to all training plans.

- | | |
|---------------------------------------------|----------------------------------------------------|
| _____ New Miners | _____ Course Materials |
| _____ Experienced Miner Training | _____ Number of miners employed at mine |
| _____ New Tasks | _____ Number to attend training session |
| _____ Annual Refresher | _____ Predicted time or periods |
| _____ Hazard | _____ Length of each session, etc. |
| _____ Person responsible for training | _____ Complete list of task assignments |
| _____ Position of this person | _____ Titles of person(s) conducting task training |
| _____ List of MSHA approved to teach | _____ Outline of task training procedures |
| _____ Location where training will be given | _____ Evaluation procedures used for task training |
| _____ Teaching methods | |

UNDERGROUND

48.5 New Miner Training – Total Hours _____

- _____ Statutory Rights
- _____ Self-rescue and Respiratory Devices
- _____ Transportation and Communication
- _____ Introduction to Work Environment
- _____ Maps; Emergency Evacuation
- _____ Roof/Ground Control/Ventilation
- _____ Health
- _____ Clean-up; Rockdusting
- _____ Hazard Recognition
- _____ Electrical Hazards
- _____ First Aid
- _____ Mine Gases
- _____ Health & Safety Aspects of Task; including
- _____ Hazard Communication (HazCom)
- _____ Other Courses

48.6 Experienced Miner Training

- _____ Introduction to Work Environment
- _____ Mandatory Health/Safety Standards
- _____ Authority/Responsibility Supervisor
- _____ Transportation and Communication
- _____ Maps; Emergency Evacuation
- _____ Roof/Ground Control/Ventilation
- _____ Hazard Recognition
- _____ Self-rescue and Respiratory Devices
- _____ Prevention of Accidents
- _____ Emergency Medical Procedures
- _____ Health
- _____ Health & Safety Aspects including
- _____ Hazard Communication (HazCom)
- _____ Other Courses

48.7 New Task Training

- _____ Health & Safety Aspects (HazCom)
- _____ Supervised Practice/Operation
- _____ New or Modified Machines, etc.
- _____ Other Courses

48.11 Hazard Training

- _____ Hazard Recognition and Avoidance
- _____ Emergency and Evaluation Procedures
- _____ Health/Safety Standards/Procedures
- _____ Self-Rescue and Respiratory Devices
- _____ Other Courses

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48.8 Annual Refresher – Total Hours _____

- | | |
|------------------------------------------------------------|--------------------------------------------------------------|
| <input type="checkbox"/> Mandatory Health/Safety Standards | <input type="checkbox"/> Electrical Hazards |
| <input type="checkbox"/> Transportation and Communication | <input type="checkbox"/> Prevention of Accidents |
| <input type="checkbox"/> Barricading | <input type="checkbox"/> Self-rescue and Respiratory Devices |
| <input type="checkbox"/> Roof/Ground Control/Ventilation | <input type="checkbox"/> Explosives |
| <input type="checkbox"/> First Aid | <input type="checkbox"/> Mine Gases |
| <input type="checkbox"/> Other Courses | <input type="checkbox"/> Health |

SURFACE TRAINING

48.25 New Miner Training – Total Hours _____

- Statutory Rights
- Self-Rescue and Respiratory Devices
- Mine Transportation and Communication
- Introduction to Work Environment
- Emergency Procedures
- Ground Controls
- Health
- Hazard Recognition
- Electrical Hazards
- First Aid
- Explosives
- Health & Safety Aspects of Task (HazCom)
- Other Courses

48.26 Experienced Miner Training

- Introduction to Work Environment
- Mandatory Health/Safety Standards
- Authority and Responsibility of Supervisors
- Transportation and Communication
- Escape and Emergency Evacuation Plans
- Ground Controls
- Hazard Recognition
- Prevention of Accidents
- Emergency Medical Procedures
- Health
- Health/Safety Aspects of Task (HazCom)
- Other Courses

48.27 Task Training

- Health & Safety Aspects (HazCom)
- Supervised Practice/Operation
- New or Modified Machines, etc.
- Other Courses

48.31 Hazard Training

- Hazard Recognition and Avoidance
- Emergency and Evacuation Procedures
- Health/Safety Standards/Procedures
- Self-Rescue and Respiratory Devices
- Other Courses

48.28 Annual Refresher – Total Hours _____

- | | |
|----------------------------------------------------------------|--------------------------------------------------------------|
| <input type="checkbox"/> Mandatory Health & Safety Standards | <input type="checkbox"/> Electrical Hazards |
| <input type="checkbox"/> Mine Transportation and Communication | <input type="checkbox"/> Accident Prevention |
| <input type="checkbox"/> Emergency Procedures | <input type="checkbox"/> Health |
| <input type="checkbox"/> Ground Controls | <input type="checkbox"/> Explosives |
| <input type="checkbox"/> First Aid | <input type="checkbox"/> Self-Rescue and Respiratory Devices |
| <input type="checkbox"/> Other Courses | |

Reviewer(s): _____

Titles(s): _____

Comments: _____

PART 46 TRAINING PLAN/PROGRAM APPROVAL GUIDE

MSHA ID Number _____

Competent Persons list

Mine Address

Company _____

Mine Name _____

Person Responsible for Health & Safety Training at the mine _____ Title _____ Telephone Number _____

PLAN CONTENTS

§ 46.5 New Miner Training - 24 Hours (must be completed within 90 days after miner begins work)
Before a new miner begins work at a mine, no less than 4 hours training in the following subjects must be given:

Teaching Methods	Course Mat.	Eval. Methods	Time	
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Introduction to work environment (must include site tour)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Recognition and avoidance of electrical hazards and other hazards
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Emergency medical procedures; escape and emergency evacuation plans; firewarning signals & firefighting procedures
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Health and safety aspects of the tasks to be assigned; including Hazard Communication (HazCom)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Statutory rights of miners and their representative
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Authority and responsibilities of supervisors & miners representative
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Introduction to rules and procedures for reporting hazards

If not given initially, each new miner will receive the following training within 60 days:

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Self-rescue and respiratory devices
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	First aid

Other Courses: Yes No List:

§46.6 Newly Hired Experienced Miner Training (before miner begins work)

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Introduction to work environment (must include site tour)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Recognition and avoidance of electrical & other hazards
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Emergency medical procedures; escape and emergency evacuating; fire warning signals and firefighting procedures
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Health and safety aspects of the tasks to be assigned or practice under close observation of a competent person if hazard recognition training specific to the assigned task is given before the mine performs the task; including Hazard Communication (HazCom)
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Statutory rights of miners and their representative
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Authority and responsibilities of supervisors and miners' representatives
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Introduction to rules and procedures for reporting hazards

If not given initially, each newly hired experienced miner will receive the following training within 60 days:

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Self-rescue and respiratory devices
--------------------------	--------------------------	--------------------------	-------	-------------------------------------

Other Courses: Yes No List:

§46.7 Task Training (health and safety aspects and safe work procedures specific to task)

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Health and safety aspects and safe work procedures of the new task; including HazCom
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Other Courses: Yes No List:

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§46.8 Annual Refresher Training - 8 Hours Yes No

Teaching Methods	Course Mat.	Eval. Methods	Time
---------------------	----------------	------------------	------

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Changes at the mine that affect the miner's health or safety
--------------------------	--------------------------	--------------------------	-------	--------------------------------------------------------------

Miners will also receive training in the following recommended subjects and for hazards that have accounted for the most fatalities and injuries at the mine, where appropriate:

List of recommended subjects that will be taught at the mine. "Recommended Subject(s)" page for each is attached.

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Applicable health and safety requirements, including mandatory standards
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Transportation controls and communication systems
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Escape and emergency evacuation plans; firewarning and firefighting
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Ground conditions and control
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Working in areas of highwalls
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Water hazards, pits, and spoil banks
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	First Aid
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Prevention of accidents
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Explosives
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Mobile equipment; conveyor systems; cranes; crushers; excavators; and dredges
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Maintenance and repair; material handling; fall prevention and protection; and working around moving objects
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Traffic patterns and control
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Illumination and night work
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Electrical hazards
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Health
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Respiratory devices

Other Courses: Yes No List:

§46.11 Hazard Awareness Training Program

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Hazards a person or miner may be exposed to while at the mine, including applicable emergency procedures
--------------------------	--------------------------	--------------------------	-------	----------------------------------------------------------------------------------------------------------

List of recommended subjects that will be taught at the mine. "Recommended Subject(s)" page for each is attached.

<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Unique geologic or environmental conditions
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Recognition and avoidance of hazards such as electrical hazards
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Powered haulage hazards
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Traffic patterns and control, and restricted areas
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Warning and evacuation signals
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Evacuation and emergency procedures
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____	Other special safety procedures

Other Courses: Yes No List:

Reviewer(s)	Title(s)	Date
-------------	----------	------

Comments: _____

Chapter II - Approval or Disapproval of Instructors

Instructors need two basic qualifications: (1) knowledge of subject matter, and (2) effective teaching skills. Prospective instructors range from professional educators to persons with no prior teaching experience.

Professional educators without mining experience can be effective mine health and safety instructors if they are given basic knowledge of mining. Other prospective health and safety instructors may have an extensive mining background, but little or no practical teaching experience. These persons must acquire the necessary teaching skills that will enable them to prepare and present courses using their knowledge and experience in the subject matter. For prospective instructors who have both teaching and mining experience, approval should be done quickly.

A. Approval Methods

MSHA approves instructors to teach specific courses and to train other instructors (instructor trainers) by one or more of the following methods:

Method 1 - Training Conducted by MSHA

Method 2 - Training Conducted by MSHA Approved Instructor Trainers

Method 3 - Qualifications and Teaching Experience

Method 4 - Provisional Instructor Requiring Monitoring

When determining an applicant's experience and knowledge, several factors are listed in Sections E and F of this chapter.

1. Method 1 - Training Conducted by MSHA [§48.3(h)(1)/48.23(h)(1)]

Applicants successfully complete an instructor's training course conducted by MSHA and a program of instruction approved by MSHA for each subject they will teach. Applicants for approval as instructors and instructor trainers by Method 1 will:

- a. Inform the District, in writing, that they would like to attend the MSHA instructor training course and indicate which subject matter courses or programs they intend to teach.

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- b. Submit information to the District prior to the instructor training course listing their mining experience, training experience and training completed.
- c. Satisfactorily complete the 3-day instructor training course conducted by MSHA.

At the completion of the instructor training course, the District will:

- a. Make a determination of each applicant's knowledge of the subject matter.
- b. Make a determination of each applicant's teaching skills and qualifications.
- c. Approve the applicant to teach specific courses based on the determinations made above. Inform instructors as soon as possible, in writing, of the approval. Enter their credentials into the instructor computer system (refer to Chapter VI of this handbook). When an applicant is not approved, follow the procedures in Section B of this chapter.

2. Method 2 - Training Conducted by MSHA Approved Instructor Trainers
[§48.3(h)(1)/48.23(h)(1)]

Applicants successfully complete an MSHA approved instructor training course and a program of instruction approved by MSHA for each subject they will teach. Applicants for approval as instructors by Method 2 will:

- a. Inform the instructor trainer, in writing, that they would like to attend the instructor training course and indicate which subject matter courses or programs they intend to teach.
- b. Submit information to the instructor trainer prior to the instructor training course describing their mining experience, training experience and training completed.
- c. Satisfactorily complete the MSHA approved instructor training course conducted by the instructor trainer.

Upon completion of the instructor training course, the instructor trainer will submit the following to the District:

- a. Instructor File Update (MSHA Form 5000-13) for each applicant satisfactorily completing the course.

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- b. Information describing each applicant's experience.

Upon receipt of the above information from an instructor trainer, the District will:

- a. Make a determination of each applicant's knowledge of the subject matter.
- b. Make a determination of each applicant's teaching skills and qualifications.
- c. Approve the applicant to teach specific courses based on the determinations made above. Inform instructors as soon as possible, in writing, of the approval. Enter their credentials into the instructor computer system (refer to Chapter VI of this handbook). When an applicant is not approved, follow the procedures in Section B of this chapter.

3. Method 3 - Qualifications and Teaching Experience [§48.3(h)(2)/48.23(h)(2)]

Applicants for approval as instructors by Method 3 will:

- a. Submit an application to the District requesting approval to teach based on qualifications and teaching experience and include a list of the specific courses they intend to teach.
- b. Submit information to the District describing their mining experience, training experience and training completed.

Upon receipt of the above information, the District will:

- a. Make a determination of each applicant's knowledge of the subject matter.
- b. Make a determination of each applicant's teaching skills and qualifications.
- c. Approve the applicant to teach specific courses based on the determinations made above. Inform instructors as soon as possible, in writing, of the approval. Enter their credentials into the instructor computer system (refer to Chapter VI of this handbook). When an applicant is not approved, follow the procedures in Section B of this chapter.

4. Method 4 - Provisional Instructor Requiring Monitoring [§48.3(h)(3)/48.23(h)(3)]

Districts may designate persons as provisional instructors to teach specific courses. Each such instructor is subject to follow-up approval based on the District's monitoring of classroom performance.

Operators requesting approval of persons as provisional instructors by Method 4 will:

- a. Indicate in the training plan submitted for approval whether they want to have instructors approved based on monitored performance.
- b. Submit in writing reasons why other approval methods would impose an extreme hardship.
- c. List the designated persons they will use to teach specific courses. These persons are provisional instructors until the District monitors them.

Upon receipt of the request from an operator, the District will:

- a. Review reasons why other instructor approval methods would impose an extreme hardship. Determine the validity of the request and consider such factors as size of the mine, number of employees, mine safety record (accidents, fatalities, etc.), and availability and accessibility of training.
- b. Approve the provisional instructors based on the criteria above. (This method is seldom approved except in cases of emergencies.)
- c. Inform the operator as soon as possible, in writing, of the approval. Enter the instructor's credentials into the instructor computer system (refer to Chapter VI of this handbook). When the person is not approved, follow the procedures in Section B of this chapter.
- d. Arrange for monitoring of provisional instructors as soon as possible.

B. Instructor Disapproval

When an applicant is not approved based on evaluation by one of the four methods, the District sends notification to the applicant as soon as possible. This written notification must identify areas of deficiency or other reasons for disapproval. For example, the applicant did not attend the amount of required time during an

instructor training class. The notification may also include how to correct the deficiency.

C. Limited Instructors

"Limited instructors" are individuals approved for surface operations (IS) or underground operations (IU) to teach only specific courses under the appropriate subpart (A or B) of 30 CFR Part 48.

D. Approval to Teach Additional Courses

Instructors must notify the District, in writing, if they wish to teach other courses. The District evaluates applicants based on their knowledge of the subject matter. If the District determines that an applicant does not have adequate subject matter knowledge, they notify the applicant, in writing.

E. Criteria for Determining Subject Knowledge

The District may use the following factors to determine an applicant's subject matter knowledge:

1. The applicant's work experience directly relates to the subject area.
2. The applicant has MSHA and State qualification and certification.
3. The applicant has completed MSHA approved courses.
4. The applicant has related degrees from accredited institutions.
5. The applicant has completed related classes at other institutions.
6. Other pertinent information.

F. Criteria for Determining Teaching Skills

The District may use the following factors to determine an applicant's teaching ability:

1. Evaluation of micro-teaching sessions during the 3-day instructor training course.
2. Teaching experience.

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3. Work experiences that are similar to teaching experiences (e.g., safety meetings, on-the-job training, etc.).
4. Standardized evaluation by the District during monitoring of the applicant's classes in the field.
5. Education courses completed.
6. Education degrees from accredited schools.
7. Other pertinent information.

In reviewing the qualifications of an applicant for instructor trainer, place particular emphasis on experience training other instructors.

G. Instructor Trainer Guidelines

Use Method 1 or 2 to approve an instructor trainer. The District approves instructor trainers to teach a 3-day instructor training course. The instructor training course provides the fundamentals of effective teaching and does not teach mine specific subject matter. The course provided to teach instructor trainers will focus on the basics of effective teaching skills.

Persons completing the instructor training course must also have a knowledge of the specific subject matter they intend to teach. Those who will teach other instructors (instructor trainers) can obtain knowledge of the subject matter through teaching experience or training.

The following is a list of guidelines that will help to conduct an effective instructor training course:

Class size - Ten to 15 students to allow for adequate individual attention and time for teaching during the instructor training course.

Proper equipment - Multimedia equipment, television, digital cameras, video cassette recorder (VCR); film and overhead projectors; some items to use in teaching, such as self-rescuers, safety glasses, etc.; and hand-out materials pertinent to the course.

Facilities - Electrical outlets, tables or desks, adequate room, etc., in which to conduct the training.

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Make subject matter training available to applicants who need it. Subject matter training programs are available from MSHA, State or other Federal agencies, associations of mine operators, miners' representatives, mine operators, private associations or educational institutions.

When the students complete the instructor training course, the instructor trainer will submit MSHA Form 5000-13 and the applicant's qualification summary to the MSHA District Office for that geographical area.

District personnel must be sure that each approved instructor has the skills to teach and has adequate knowledge of the subject matter. If an instructor trainer significantly changes the MSHA 3-day class or designs a different course, Educational Policy and Development must approve this course before use.

H. Competent Persons

Under Part 46, an instructor is referred to as a "competent person." A competent person is a person who is designated by the mine operator or independent contractor as having the ability, training, knowledge, or experience to provide training to miners in his or her area of expertise. The competent person must be listed in the training plan, and may include an organization, such as a training institution or state grantee.

Part 46 does not require that competent persons be approved as instructors by MSHA. It does state, however, that operators and independent contractors are responsible for determining who is competent to instruct in the subjects listed in the training plan. The competent person must be able to effectively communicate the training subject to miners, and evaluate whether the training given to miners is effective.

In addition to the reviews of MSHA Approved Instructors (Part 48), MSHA may also monitor classes conducted by competent persons to evaluate their abilities and the quality of their training (refer to Chapter IV).

Chapter III - Revocation of Approval of Instructors

The District Manager may revoke an instructor's approval for reasons such as: the instructor has not taught a course at least once every 24 months; did not follow the approved training plan; during monitoring, did not show adequate knowledge of subject matter or adequate teaching skills; or, falsified training certificates. The reason(s) for revocation should be established in the record and be of sufficient gravity to justify revocation; otherwise, a notice of deficiency may be appropriate.

When there is a decision to revoke approval, including a decision that may involve possible criminal prosecution, the District will immediately begin the following administrative procedures. (Attachment III-A is a flowchart that summarizes these procedures.)

A. Notice of Deficiency and Proposed Revocation to the Instructor

A certified letter from the District Manager to the instructor must clearly state the following:

1. Proposed action.
2. Specific issue(s) that prompted the proposed action.
3. Specific reason(s) for the issue(s).
4. Instructor's right to submit information to, and request an information meeting with, the District to discuss the proposed action.
5. If the instructor does not respond within 30 days, the notice of revocation is instated.

This letter must contain enough information for the instructor, specifying what is wrong and what has to be done to achieve compliance on the matter with the District.

Since the District Manager makes the final decision, the District Manager must not be the "recommending officer" in the proceedings. The recommending officer is the person who initiates the action, for example, a compliance specialist, special investigator or a training specialist. Additionally, since the Administrator is the deciding official for any appeal, the Administrator should have no role in the District's process.

B. Information Meeting or Submission from the Instructor

1. Information Meeting

The instructor has 30 calendar days from the date of the notice of proposed action to request an information meeting. This meeting should be at a place convenient to the instructor. If practical, consider using conferencing technology.

If there is an information meeting, the District Manager or a representative of the District Manager must perform or include the following steps in the meeting:

- a. Restate the proposed action.
- b. Restate the issues and determine if the instructor understands the issues and their consequences.
- c. Restate and explain the reasons for the action and present the supporting information or a thorough summary of the information.
- d. Advise that the instructor can be accompanied by a representative.
- e. Allow the instructor to present information and witnesses.
- f. Advise of the District's date to make the decision and of the instructor's appeal rights.
- g. Advise that the administrative record remains "open" for 15 calendar days, if necessary, so the instructor can submit additional information.

The meeting should be tape recorded with the consent of the instructor or detailed notes taken. Make the parties aware of the recording or the notes.

2. Submission of Information from Instructor

The instructor may submit information in place of, or in addition to, an information meeting. The District must receive this submission, in writing, within 30 calendar days from the date of the Notice of Deficiency. When the District receives the submission, the District will stamp the submission with the date of receipt.

3. After Information Meeting

After holding an information meeting or receiving a written submission, the District Manager must:

- a. Review and evaluate all records including notes, tapes, documents or written submissions.
- b. Send one of four written responses to the instructor with the results of the review:
 - 1) A "clean bill" letter if the record satisfies the deficiency or issue(s);
 - 2) Notice of remedial action;
 - 3) Notice of revocation;
 - 4) A letter requesting additional necessary information to make a decision.

C. Decision on Revocation

Base the decision on the administrative record and credibility of witnesses. The administrative record should contain:

1. Correspondence from the District and the instructor
2. Witness statements
3. Supporting documents
 - a. training certificate
 - b. training schedules
 - c. time and attendance sheets, etc.
4. Background information
 - a. company training plans
 - b. mine training plans
 - c. state grant narrative and training program
5. Personnel information

6. District and investigation reports
 - a. training specialist report
 - b. available special investigation material, etc.
7. Meeting notes, transcripts, or tape recordings
8. Compliance specialist or training specialist notes

D. Notice of Revocation

The notice of revocation must be in writing and contain:

1. Statement of the decision or action.
2. Specific reason(s) or issue(s) for the revocation [Section 48.3(i)/48.23(i)].
3. Statement that the decision will take effect 30 calendar days* from the date of the notice of revocation. [*Note: This waives the administrative regulatory deadline of 5 days.]
4. Statement of the right to appeal.
5. Statement that filling the appeal will stay the effective date of the decision.
6. Statement that the administrative record is available for review at the District Office and a copy is available upon request.

Send the notice of revocation to the instructor by certified mail with return receipt requested.

E. Appeals Procedure

An instructor may appeal the revocation decision to the appropriate MSHA Administrator. The instructor has 30 calendar days from the date of the revocation notice to file an appeal. Upon request from the Administrator, the District will forward a copy of the administrative record to the Administrator. The Administrator will make a decision based on that record. Since the Administrator makes the final appellate decision, he/she must not participate in any of the prior process. Any

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National Office staff who have given advice or participated in the District level proceeding must not participate at the Administrator's level.

The following are examples of Administrator's responses:

1. Appeal is denied. The District decision is upheld and the revocation stands.
2. Appeal is granted. The District will not revoke the instructor's certification.
3. Administrator requires an additional meeting or information. District assists as necessary.
4. Administrator refers the matter back to the District with appropriate instructions. The Administrator may base this action on new information that was not available to, or considered by, the District Manager. The District takes appropriate action based on instructions from the Administrator.

F. Inform Operators and Other MSHA Districts

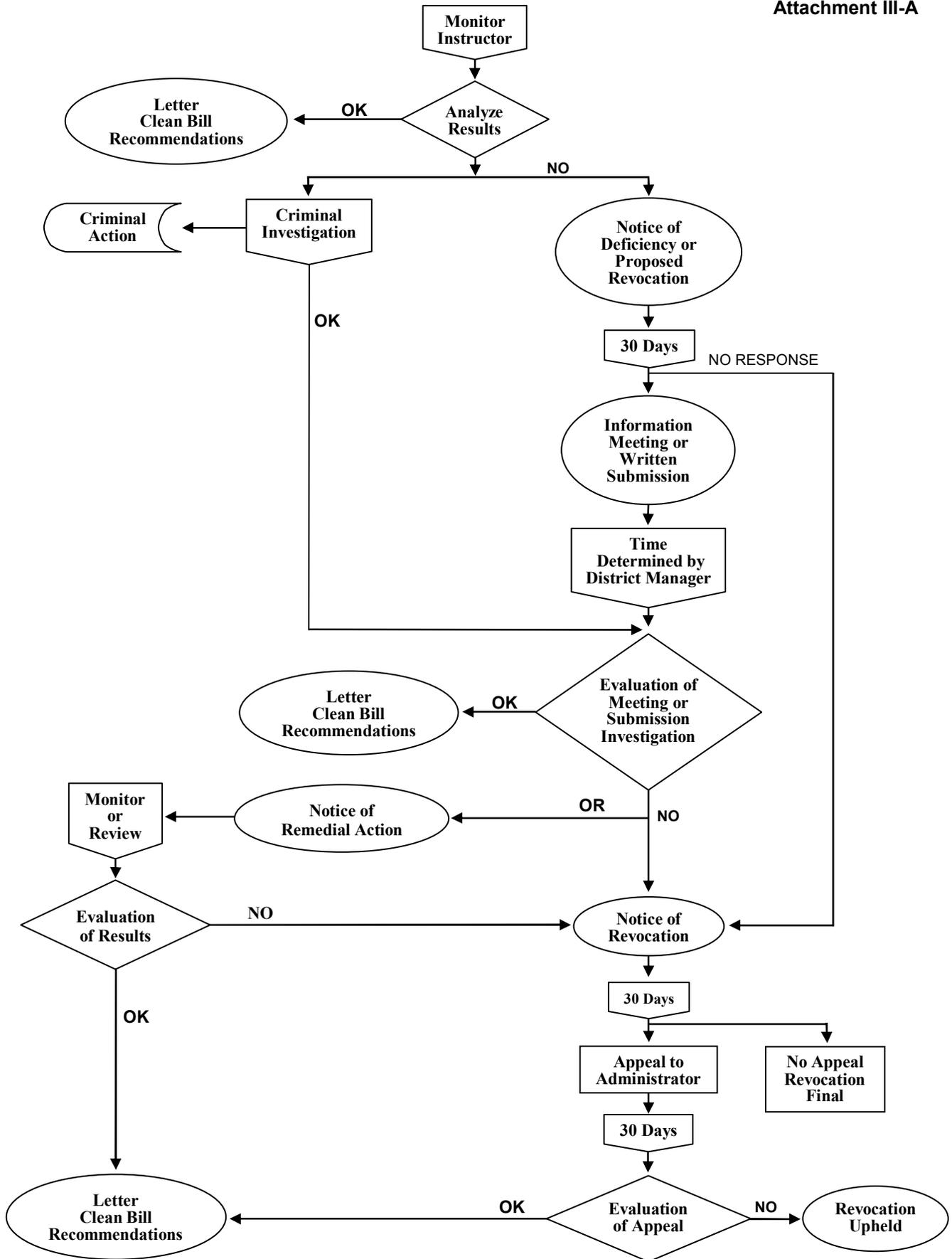
The District will immediately notify, in writing, operators, cooperatives and grantees who use the revoked instructor for training. The District will also notify other MSHA District Offices of the revocation.

G. Applying for Reapproval after Revocation

Unless there are mitigating circumstances, an instructor cannot reapply for approval for 1 year following issuance of the notice of revocation. These conditions will vary depending upon factors specific to each case. Some factors to consider include the basis for revocation and the person's record as an instructor.

H. Criminal Proceedings

In those cases where the willful conduct of an instructor warrants possible criminal prosecution, the District will follow the procedures in the Special Investigations Procedures Handbook (Chapter 4, Section 110 Investigations).



Chapter IV - Educational Field Services

Mission Statement

The mission of Educational Field Services is to promote safety and health in the mining community through cooperation with the mining industry, mining associations, educational institutions, and others.

To accomplish this mission, Educational Field Services (EFS) will:

- Assist mining instructors
- Assist in the development of training plans
- Review and approve Part 46 training plans (if submitted)
- Review Part 48 training plans (as requested) and forward to Districts for approval
- Evaluate training programs
- Assist in qualification/certification programs, such as dust, noise, impoundments, electrical, etc.
- Support the Holmes Safety Association
- Develop and maintain partnerships with mining associations, labor organizations, trade associations, academia, state and federal agencies, and others interested in mining safety and health
- Conduct accident prevention programs, and participate in accident investigations, when requested

Assist Mining Instructors

In cooperation with the National Mine Health and Safety Academy, provide courses to assist mining instructors in meeting educational needs of the mining industry, including instructor approval. (Refer to Chapter II - Approval or Disapproval of Instructors.)

A. Evaluating Approved Instructors/Competent Persons

Evaluation of an instructor is usually part of the overall evaluation of the mining company's training program. The District may want to conduct special evaluations of instructors for the following situations:

1. Provisional instructors (PI) - instructors approved (under Part 48) provisionally until the District can evaluate their performance.

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2. Instructor trainers (IN) - trainers approved (under Part 48) to teach a 3-day approved instructor training course.
3. Instructors approved based on experience (AI) - instructors approved (under Part 48) based solely on written evidence of their teaching experience and qualifications.
4. Requests to monitor instructors received from management, labor or enforcement personnel.

The main factor to consider when evaluating an instructor is the achievement of training goals. Other factors to consider are:

- assessment of student needs,
- preparation of the lesson plan and goals,
- methods of presentation,
- how the students apply the presented material, and
- student performance evaluation.

The "Instructor Evaluation" sheets (see Attachment IV-A) will aid District personnel in documenting the evaluation of an instructor. Persons evaluating instructors should remember that the purpose of the evaluation is to help the instructors improve their performance. Evaluators should discuss the findings and recommendations with the instructor. The District Office retains a written record of the evaluation.

After evaluating instructors (under Part 48), update their instructor code to Monitored Instructor (MI) status in the instructor computer system (refer to Chapter VI of this handbook) and delete the (PI) code if applicable.

B. Monitoring Approved Instructors/Competent Persons

As resources permit, EFS and the Districts should monitor as many MSHA approved instructors and competent persons as feasible. Monitoring provides the opportunity to help with training materials; to enhance skills, knowledge, and abilities; and make recommendations. Use Attachment IV-A to evaluate an individual instructor.

To determine the effectiveness of an instructor, it is important to see a class presentation and to assess the achievements of the students. Monitoring includes:

1. Reviewing training program(s) to ensure courses are conducted under the approved training plan. Also consider accident data, violation history and other pertinent information.

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2. Reviewing training materials, lesson plans and resources available to determine their application to the training program.
3. Discussing with the instructor the methods of student evaluations and how they can measure achievement of training goals.
4. Attending course presentations to determine if the:
 - a. instructor is prepared to teach;
 - b. course has a clear training goal;
 - c. instructor presented clear and accurate information;
 - d. miners participated through questions and answers, or hands-on exercises;
 - e. company's training plan and presented material addressed specific training needs (other plans to use for comparison are ventilation plans, roof control plans, health control plans, escape and evacuation plans, etc.); and
 - f. instructor took appropriate steps when students did not achieve the training goals.
5. Determining if each program meets the minimum time requirements as stated in the company's training plan.
6. Determining the completion of course requirements for each program.
7. Determining accuracy of the training certificate (MSHA Form 5000-23) or training record (Part 46) completion, proper instructor designation for classes taught, and accurate documentation of class attendance for each training session.
8. Discussing any strong points or deficiencies with the instructor.
9. Recommending improvements or corrective measures.
10. Determining if the student/teacher ratio for hands-on training and the class size were appropriate.
11. Determining if the course presentation (underground/surface, initial/refresher, etc.) was appropriate.
12. Presenting new training materials or aids MSHA has developed.

Process Training Plans

Assist in the development of training plans tailored to meet the needs of individual mines or independent contractors. Process and review Part 46 and 48 training plans submitted for formal approval. Guidelines for training plan reviews are outlined in Chapter I (Approval of Training Plans).

Evaluating Training Programs

Operators training under an approved training plan are subject to evaluation. This evaluation is performed to determine the effectiveness of the operator's training program.

The information gained from this evaluation process will show where and how a training program can be strengthened. Observation and analysis of data are ways to measure achievement of instructional goals. The evaluation results should identify whether any unsafe job performance is the result of ineffective training.

A. Selection Process

1. It may be necessary to conduct an evaluation to fulfill the responsibilities under the 1977 Mine Act, such as Sections 103(g), 107 and 110(f).
2. Otherwise, use the following suggested criteria to select training programs for evaluation. (This is not a priority listing, apply individual judgment to each mine property.)
 - a. Requests from mine management, labor, MSHA, or state agencies
 - b. Requests from District enforcement personnel
 - c. Issues involving the accuracy of training certificates or training records
 - d. Mines with a high incident rate
 - e. Mines with an increasing incident rate
 - f. Mines having repeated accidents
 - g. Training programs conducted by colleges, associations and other groups for a large number of mines, miners, or contractors
 - h. Mines where accident investigations reveal that training may have been a factor
 - i. Mines with good safety records to reinforce those safe practices

B. Pre-Evaluation Process

1. Compile, review and analyze pertinent information before going to the mine.

2. Include field office personnel in the information gathering process.
 - a. Have employees provided any information to compliance specialist?
 - b. Does compliance specialist have an understanding of management's view towards training and safety and health?
 - c. Has compliance specialist observed training in past?

C. On-Site Evaluation Process

1. Initial Meeting
 - a. Identify appropriate mine contact and schedule meeting.
 - b. Hold initial meeting with management, miners' representative and other appropriate parties to explain the reason for selection and the evaluation process.
 - c. Discuss planned on-site activities and involvement of mine personnel in the evaluation. Solicit input from parties in the meeting to gain interest, participation and cooperation. Keep a positive approach throughout the entire process. Summarize meeting discussion in notes/report.
 - d. Plan and coordinate with mine management.
 - e. Schedule for on-site activities. If possible, schedule visits to coincide with training activities or safety and health meetings.
2. Initial Interviews
 - a. Person responsible for safety and health training
 - b. Supervisors and other mine management
 - c. People who conduct training including cooperative training sources if utilized
 - d. Miners' representative or miners
 - e. Independent contractors
3. Review and Evaluation
 - a. Review job analyses (JTAs/JSAs), and job descriptions to become familiar with the jobs or tasks at the mine.
 - b. Review training materials and resources used to determine if they are current and mine specific.
 - c. Review lesson plans and methods of student and course evaluations.
 - d. Determine if the course content is suitable to the miners' needs.
 - e. Review training records for recordkeeping practices such as, completeness, accuracy, and timeliness.

4. Monitoring and Job Observations

- a. Monitor course presentations when possible. Participate and provide assistance to instructors.
- b. Ensure that training plans are being followed.
- c. Observe workers to see if they follow safe work procedures as outlined in task training guidelines, job task analyses or other task analyses.
- d. Attend safety meetings, tailgate meetings, etc., to gain an understanding/appreciation of the safety and health culture.
- e. Identify potential accident sources and remedial actions with regard to training.

5. Miner Interviews

- a. Interview mine employees in key jobs or areas on all shifts, including contractors. Conduct the interview at the employee's work area if possible or at a location where he or she would feel most comfortable.
- b. When conducting interviews, use the following procedures:
 - 1) Introduce yourself.
 - 2) Explain the reason for the interview.
 - 3) Ask questions prepared in advance. To compare question responses, ask all miners the same questions and give them the same chance to answer the questions accurately. For this reason, state the question from your question list identically to each individual. You may repeat a question if necessary.
 - 4) Deviate from the prepared questions as good judgment indicates. Always give the person being interviewed a chance to add information he or she perceives to be relevant.
 - 5) Conduct interviews with as little disruption to the work process as possible.
 - 6) Record the interview results on an Interview Summary Sheet (see Attachment IV - B).

6. Pre-Closeout Meetings

- a. Discuss any instructor-related training issues with the individual instructors involved.
- b. Discuss any training plan violations for previous year.

- c. Discuss overall findings with management and training staff, including first line supervisors, employees doing task training, and the person in charge of safety and health training.

7. Closeout Meeting

- a. Provide all appropriate parties an opportunity to attend.
- b. Acknowledge cooperation received. Keep the meeting friendly but businesslike and keep to the subject at hand.
- c. Discuss all findings of the review. Only findings discussed in the closeout meeting should be in the written report.
- d. Invite and encourage participants to have input in the meeting and written report.

D. Post-Evaluation Process

1. Prepare a written report documenting findings and any suggested or required changes. The goal is to help the mine develop and maintain the most effective training program possible.
2. Make report concise but complete. The report should include:
 - a. Mine selection summary
 - b. Observations and facts need to be carefully separated from your own ideas and recommendations
 - c. Recommendations should be based on evidence from interviews, findings and evaluations
 - d. Necessary training plan revisions
 - e. Summary of miner interviews
3. Provide copies of the report to the operator and the miners' representative, if applicable.

Assist in Mine Emergency Readiness

In cooperation with the National Mine Health and Safety Academy, assist mines in maintaining mine emergency response readiness (Mine Rescue Contests, MERD Exercises, training mine rescue teams, etc.).

Assist in Qualification/Certification (Coal)

Provide assistance in qualification/certification programs, such as dust, noise, impoundments, electrical, gas detection, etc.

Share Information

Provide to the mining industry safety and health training materials available from the National Mine Health and Safety Academy.

Assist in the Development and Promotion of New Programs and Materials

In cooperation with the National Mine Health and Safety Academy and State Grantees, assist the mining industry in the development of special emphasis programs and educational materials to address safety and health concerns.

Recognize Outstanding Safety and Health Practices

Support the Joseph A. Holmes Safety Association and similar mining organizations in recognizing miners, operators, companies, and others involved in the mining industry who have accomplished outstanding safety and health records.

Promote the Holmes Safety Association

Assist in organizing Chapters/Councils, participate in organizational drives, serve on state and national committees, conduct presentations, attend meetings and conferences, etc.

Develop and Maintain Partnerships

Continue to develop partnerships with mining associations, labor organizations, trade associations, academia, state and federal agencies, and others interested in mining.

Assist in the Implementation of Accident Prevention Programs

Provide guidance and assistance in developing educational programs designed to reduce accidents and injuries by sharing accident data and on-site observations, e.g., "Training Makes a Difference" (refer to Page 15).

INSTRUCTOR EVALUATION

Evaluator _____ Date _____

Instructor Information:

Instructor _____

Part 46 Competent _____
Part 48 Approved _____ SSN (Last 4 digits) _____

Employer _____

Part 46 Subjects/Part 48 Codes _____

Location of training _____

Is there more than one company represented in the class? _____

Mine Name _____	ID _____	Commodity _____
Mine Name _____	ID _____	Commodity _____
Contractor _____	ID _____	Commodity _____
Contractor _____	ID _____	Commodity _____

Type of training monitored:

- Part 46
- New Miner
 - Newly Hired Experienced Miner
 - Annual Refresher
 - New Task
 - Site-Specific Hazard
- Other specialized training:

- Part 48
- New Miner
 - Experienced Miner
 - Annual Refresher
 - Task
 - Hazard
- Other specialized training:

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Classroom:

Number of Students _____ Maximum No. in Plan _____

Adequate room size? Yes No N/A

Adequate seating? Yes No

Adequate lighting? Yes No

Adequate ventilation? Yes No

Comments: _____

Class preparation:

Was there a pre-assessment of students' needs? _____

Were the training materials and program adjusted to pre-assessment results? _____

Lesson plans? _____

Handouts? _____

Training Aids (e.g., SCSRs/FSRs, gas detectors, etc.)? _____

Mine Specific Plans? _____

Others (specify) _____

Presentation:

Was the course content presented clearly and with a logical progression of information?

How did the instructor maintain class interest?

How did the instructor encourage class participation?

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Was the instructor knowledgeable in each of the subjects (e.g., was he/she able to accurately answer questions)?

If visual aids were used, were they relevant to the subject being discussed?

How did the instructor solicit feedback or require demonstration to ensure students were grasping course material?

How did the instructor follow-up with students who fell short of achieving training goals?

Were unique training methods used? If so, please describe:

Were students given the opportunity to provide feedback at conclusion of training?

Is follow-up visit necessary? (List areas for improvement:)

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Comments/Recommendations:

INTERVIEW SUMMARY SHEET

Mine Name _____ Mine/Contractor ID No. _____

Company Name _____ Date _____

Commodity _____ Mine Type _____

Number of Employees _____ NFDL Rate _____

Number of Miners Interviewed (supervisors and maintenance personnel not included)

Number of Supervisors Interviewed _____

Number of Maintenance Personnel Interviewed _____

Summary of responses to questions:

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Training Makes a Difference (TMD)

Training Makes a Difference (TMD) is an Educational Field Services (EFS) accident reduction and assistance program that partners with mine management, labor, and enforcement. The purpose is to identify injury and violation trends, make recommendations, and offer safety and health related activities. These activities include, but are not limited to, monitoring training, analyzing injuries and/or violations, and providing training.

TMD is a year-long program offered by the EFS Regional Manager in conjunction with the appropriate District Manager. It involves multiple mine visits by one or more training specialists and may be extended past one year with maintenance activities. Although TMD activities will vary from operation to operation, the basic TMD structure, as well as reporting requirements, is standard for all programs.

The training specialist team leaders, as well as the TMD coordinator, will be available for assistance and support during all phases of the program. In addition, frequent communication between the program specialist(s), team leader(s), and TMD coordinator is vital.

SECTION ONE - GETTING STARTED

Initiating TMD can be accomplished in several ways. District managers from coal or metal/nonmetal districts request the program at specific mines. Also, some operations are referred to training specialists by field office supervisors and/or compliance specialists. Training specialists may also recommend TMD to operations in their travel areas. Whatever the method of referral, once the Regional Manager decides to offer TMD, initiating the program must follow the steps outlined below.

- I. TMD request brought to the attention of the Regional Manager
 - A. From the district
 - B. From the field office
 - C. From the mine
 - D. From the training specialist

- II. Regional Manager initiates TMD
 - A. Determines where TMD will be conducted
 - B. Makes mine visit with District Manager, as necessary
 - C. Assigns specialist(s), designating lead
 - D. Initiates offer letter through coordinator, cc: specialist(s)

III. Specialist begins TMD

- A. Contacts mine operator and union/miners' representative by telephone
 - 1. Describes program and answers questions
 - 2. Sets date to start initial visit (coordinates with union/miners' representative and field office supervisor)
- B. Contacts union president/miners' representative/business representative, as needed, to review program, answers questions, and sets date for initial visit meeting
- C. Contacts field office and meets with field office supervisor
 - 1. Provides information on TMD
 - 2. Enlists support of supervisor and compliance specialist
 - 3. Discusses enforcement issues at operation
 - 4. Obtains hard copies of last two regular (AAA) inspections
 - 5. Invites supervisor/compliance specialist to attend initial visit meeting with operator/union
- D. Reviews TMD packet from Regional Office
 - 1. Fills out Pre-TMD Summary, doing research as needed – includes injury and/or violation analysis
 - 2. Advises Regional Manager and Coordinator of initial visit meeting date

SECTION TWO - INITIAL VISIT

The initial visit will normally last 1-2 weeks. It begins with a kick-off meeting at the mine site. Present during this meeting are management representatives, including the highest level possible, union representatives (where applicable) and/or miners' representatives, enforcement (field office supervisor and/or compliance specialist) and training specialist(s).

Typically, the meeting lasts an hour or more. The following should be covered:

- 1. Purpose and goals of TMD
- 2. Information from injury and/or violation analysis
- 3. Standard activities explained
 - a. Visit representative sample of the working areas of operation (some TMD programs will be conducted at selected areas rather than the entire property)

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- b. Interview employees – include all shifts (see Notes on Interviews below)
 - Approximately 20% of employees
 - All or most management personnel
 - c. Monitor training
 - Scheduled group training
 - Task training
 - d. Review training program
 - Plan
 - Materials
 - Records and certificates
4. Initial offer of additional activities – these may be provided by specialist(s) assigned or arranged through the coordinator.
- a. Training
 - b. Technical support
 - c. Violation analysis
 - d. Job Task Analysis (JTA), etc.

After the meeting, the initial visit continues with the standard activities outlined above. These activities will typically last 1-2 weeks and will culminate with a summary meeting with management and labor.

The summary meeting should present a general picture of preliminary findings and recommendations, if possible. Among other items, participants should be advised that you will be analyzing the information obtained during the initial visit and a letter summarizing this analysis will come from the Regional Manager. Also, during this meeting a tentative date for the first quarterly follow-up should be set.

TMD activities after the initial visit may take several days but must be completed immediately after the initial visit. These activities include:

1. Analysis of data from initial visit (interviews, violation analysis, injury analysis, etc.)
2. Preparation of report letter (see Attachment II) and submission to coordinator within two weeks of completion of initial visit; cc: team leader
3. Confirm date for first follow-up and notify field office supervisor
4. Schedule interim activities, as requested by mine operator. Notify team leader and coordinator
5. Inform Regional Manager, team leader, and coordinator of proposed follow-up date

Notes on Interviews

Ask that employees be made accessible. The training specialist will conduct interviews with a sample of miners and supervisors. They will be asked for opinions as to what problems are causing accidents. Interviews should be scheduled to minimize employees' time away from their jobs.

Interviews will be conducted at the employees' work site on a confidential basis with only the person being interviewed present. No information regarding the source of comments will be revealed. Intimidation by supervisors standing nearby is undesirable.

Interviews should not be conducted with employees who are doing a job that requires constant attention. Interviews should be conducted where normal operations are disrupted as little as possible. We need to explain to each person interviewed: who we are, why we are there, and what we are trying to do. We need to consider ourselves as guests and try to schedule activities convenient to the operation. We need the support of both management and labor. Lack of cooperation can produce invalid results. (See Attachment I for list of suggested interview questions.)

SECTION 3 - FOLLOW-UP VISITS

Quarterly follow-up visits are an integral part of the TMD program. It is very important that the initial visit and related activities are completed in a timely manner so that the first quarterly visit can take place as planned. Submit follow-up reports within 2 weeks of completion of the follow-up visit.

Follow-up visits are scheduled with the mine operator. Additionally, coordination with the local field office is critical. Before starting a follow-up, check the last quarter's injury/incident rates and request copies of any new reportable injuries from the field office. Whenever possible, schedule your follow-up visits when training is being offered so that you have an opportunity to monitor the training.

During the follow-up visit, consider any steps the operator has taken to implement recommendations made as a result of the initial visit. Re-visit work areas and interview a sample of employees to obtain their opinions on any progress that has been made. Review with management any injuries that have occurred since the initial visit and interview affected employees to gather ideas to prevent future injuries.

Monitor any training that occurs during a follow-up, and participate where possible. Provide materials and review other activities that could be offered. A short summary meeting should be held at the end of each follow-up, similar to the initial visit summary

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meeting. Inform the mine operator that the Regional Manager will provide a follow-up letter. Again, a tentative date for the next quarterly follow-up should be set with the operator.

The follow-up visit report (see Attachment III), including all tracking documentation, should be completed immediately after the conclusion of the mine visit. Submit the report to the coordinator, and cc: team leader.

SECTION 4 - ACCIDENT ANALYSIS

The purpose of this analysis is to provide a method to help pinpoint the causes of injuries and develop programs tailored to a particular operation. The analysis occurs in three stages: first, activities which occur before going to the operation site; second, activities at the operation site; and third, activities performed after the mine site activities are completed.

The first process in this program is to look at information to determine where the operation appears to be having problems. Collecting and analyzing data is the first step and makes a good starting point.

Accident reports (MSHA Form 7000-1) must be reviewed. If the review is done at the operation, additional information can be obtained that can explain some of the causes. If possible, a team should be assembled to review the accident reports. This team would include participants from each working area of the mine, a management person who has knowledge of the accidents, union/miners' representatives (if applicable), EFS, MSHA compliance specialists and, if applicable, the State Agency. When developing interview questions from the review, draw from the experience and knowledge of the team for selected areas to visit as well as possible questions.

Be open with team members and inform all participants that the object of the program is to reduce or eliminate accidents by identifying contributing factors. Some of the assistance activities that can relate to the findings and results of this program are:

1. Job Task Analysis (JTA) for selected task(s)
2. Site specific accident awareness program
3. Incentive programs that relate to working safely
4. Root Cause Analysis program

Physical Barrier Analysis and Human Barrier Analysis

See the following publication(s) for detailed instruction on performing accident analyses:

IG 28a M/NM Accident Analysis and Problem Identification -or-
IG 67a Coal Accident Analysis and Problem Identification

SECTION 5 - VIOLATION ANALYSIS

The overall purpose of the violation analysis is to determine the causes of citations and identify ways to eliminate them. Data, notes, and insights obtained from violation analysis activities are consolidated to allow the specialist to build on previous violation analysis work.

Consideration of everything learned about the mine's violations allows the team to construct the big picture by separating violations into two groups:

Citations which can be eliminated by:

- Omitting the need to make the examination, installation or correction; or
- Omitting the cause of a failure to examine, install, and correct.

The principle factor in all mining violations is people. What people do or fail to do as they go about the everyday business of mining can result in violations. Violations (failure to comply with mandatory health/safety standards) reflect hazards to which miners are exposed. By analyzing problem areas and causes, we can offer recommendations that reduce the number of violations received. In turn, hazards and their associated injuries will also be reduced.

While performing a violation analysis, effort should be made to train the operator in analysis procedures so that the program will continue after TMD ends.

Violation analysis

See the following publication for detailed instructions on how to conduct a violation analysis:

IG 63 Repeat Violation Reduction Program

SECTION 6 - REPORTING REQUIREMENTS

TMD is an accident prevention and assistance program that will be successful when communication between all parties is clear, consistent, and timely. The following reports are required:

1. Pre-TMD Summary – derived from data provided by Regional Office and field office
2. TMD Visit Summary – complete one summary after the initial visit and each follow-up visit
3. Injury Analysis Forms – complete during injury analysis
 - Human Barrier Analysis Tallies (4)
 - Planned Inquiry Sheet (for use during interviews)
 - Physical Barrier Analysis Matrix
4. Violation Analysis Forms
 - TMD Violation History – use during analysis
 - TMD Violation Analysis – use during analysis
 - TMD Violation Analysis Follow-up Summary -- use on site
 - Specialist Self Review of Violation Analysis – complete after each follow-up visit

Maintain the above documents in your TMD Mine Packet. Information gathered will provide additional questions for employee interviews and will allow the tracking of TMD progress. At the termination of the program, the completed TMD Mine Packet will be returned to the Regional Office.

In addition to the above, reports will be submitted to the TMD coordinator (cc: team leader) at the conclusion of the initial visit and each follow-up visit. Timely submission of these reports, following the format included, is essential. Each report is to be submitted **within 2 weeks** of the conclusion of the visit.

The initial report (see Attachment II) includes two sections: a letter from the Regional Manager that describes the activities of the specialist(s), and an attachment that includes information gathered during the visit. This attachment includes four sections:

1. "Preliminary Findings and Data Review" that describes findings from the injury analysis.
2. "Observations" that covers information from areas of the mine, including problems identified during interviews.

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3. "Recommendations" that includes possible activities by EFS and other MSHA program areas.
4. "Conclusion" that discusses EFS' intention to constructively assist the operation in a joint effort with labor and management.

The follow-up report (see Attachment III) is generally much shorter than the initial report. It refers to the initial visit, including dates and names of specialists involved. Reference is also made to the recently completed follow-up activities. Recommendations made as a result of the initial visit are reviewed, noting progress in those areas and any additional issues that have been identified. Finally, future plans regarding TMD activities are outlined.

SECTION 7 - TRACKING

The importance of timely reports, and the resultant tracking documents, cannot be over-emphasized. The cover sheet contained in the TMD Mine Packet has areas for filling in the dates of initial and follow-up visits.

After the completion of a visit, fill in the appropriate boxes on the cover sheet and fax it to the TMD coordinator and Regional Office. A sample of the regional spreadsheet is included in this section for your review. The spreadsheet will be distributed monthly to all specialists and team leaders. It is your responsibility to make sure that all information on the spreadsheet is correct and current.

Responsibilities

1. Regional Manager/Designee
 - Overall responsibility for the TMD Program
 - Reports TMD progress regularly to Headquarters
2. Specialist
 - Conducts program according to guidelines – asks for assistance as needed
 - Reports as required to team leader and coordinator
 - Submits reports and tracking documents in a timely manner
3. Team leader
 - Assists and supports specialists conducting TMD
 - Follows up with specialist regarding activities and reports
 - Ensures that TMD reports are submitted in a timely manner

4. Coordinator

- Aids in tracking all aspects of the TMD programs
- Receives and edits all TMD reports
- Reports regularly to the Regional Manager
- Assists and supports specialists conducting TMD
- Ensures that TMD reports are submitted in a timely manner

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Attachment I - Suggested Interview Questions

1. What is your job?

2. What is your mining experience?
Total:
At this mine:
At this job:

3. Have you had training? What is the last training you received? Topics? Was it effective?

4. Did you receive task training for your present job? If yes, what did the task training include? Who provided the task training? Did you think it was effective?

5. Does the company have a written safety and health policy? Have you received a copy? Is it posted?

6. Does top management ever visit your work area? Who? How often?

7. In your opinion, how does the company balance safety and health and production?

8. Is there a full time safety and health department? How many people? Who are they?

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9. Is there a safety and health committee? Who is on it?

10. What does the safety and health committee do?

11. Have you ever been on the safety and health committee?

12. Does the committee conduct regular safety and health inspections? How often?

13. What becomes of suggestions and recommendations of the safety and health committee?

14. Have you ever had an accident? If so, what did it involve?

15. Are employees encouraged to report accidents, including "close calls"?

16. Who investigates accidents?

17. Who investigates safety and health complaints?

18. Do you have regularly scheduled safety and health meetings? Who conducts them? How often?

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19. Does the company provide personal protective equipment (PPE)?

20. Is disciplinary action taken for safety and health infractions? What type of action?

21. How would you rate communication between employees and management at your operation?

22. What is the attitude of your immediate supervisor toward safety and health?

23. What is the attitude of your co-workers?

24. Are employees encouraged to make suggestions? What becomes of the suggestions?

25. Do you feel the equipment is properly maintained?

26. Is there a safety and health incentive program? How does it work (benefits)?

27. Do you have any suggestions for improving the overall safety and health program?

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Attachment II - Initial Report Outline

LETTER SUMMARY: 1-2 pages

- I. First Paragraph
 - A. Description of first contact with the mine
 - B. Description of trips(s) made by EFS/compliance personnel
 1. Date started
 2. Participants
 3. Number of interviews completed
 - a. All shifts and working areas
 - b. Hourly and management
- II. Second paragraph - Other activities which took place
 - A. Training monitored
 - B. Training provided
 - C. Injury analysis
 - D. Possible violation analysis
 - E. JTA activities
 - F. Other
- III. Third paragraph - Purpose of report
 - A. General summary of findings and observations
 - B. Meant to provide information/activities that build on good work practices to improve the accident/injury rate and violation history
- IV. Fourth paragraph – Long range plan
 - A. Quarterly visits for approximately one year
 - B. Possible further maintenance programs
 - C. Additional interviews and activities to discuss any changes that may have occurred
 - D. Tracking accident/injury rate and violation history

ATTACHMENT TO LETTER: 2-3 pages

- I. "Preliminary Findings and Data Review"
 - A. Injury analysis information
 - B. Usually 2-3 paragraphs in length

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- II. "Observations" – include positive comments
 - A. Area observations
 - B. Issues from interviews
 - C. Training issues
 - D. Other issues, if any (e.g., communication, discipline, fatigue, employee suggestions, etc.)

- III. "Recommendations"
 - A. Address previous issues, as appropriate
 - B. Include offers of additional EFS activities

- IV. "Conclusion"
 - A. Report is preliminary and not all-inclusive of comments received from employees
 - B. Comments and recommendations are intended to be taken in a constructive manner
 - C. EFS's plan to assist employees and management in this joint effort is discussed

Attachment III - Follow-up Letter Outline

FOLLOW-UP LETTER: 1-2 pages after each follow-up visit

- I. Reference to beginning of TMD
 - A. Date of initial visit
 - B. Number of employees interviewed
- II. Reference to follow-up activities just completed
 - A. Number of additional visits
 - B. Areas visited and number of miners interviewed
- III. Changes made since initial visit, if any
 - A. Results – include accident/injury rates, if appropriate
 - B. Additional issues, number of citations issued, etc.
- IV. Future plans of management regarding TMD
- V. Offer of additional EFS activities

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Attachment IV - Pre-TMD Summary

A. General Information

Mine ID: _____ District: _____

Contractor ID: _____ Field Office: _____

Company Name: _____

Mine Name: _____

Superintendent: _____

Mine Foreman: _____

Labor Representative: _____

Commodity: _____

Mine Type: _____

Number of Miners: Underground: _____ Surface: _____

Occupations at Mine:

B. Mine Statistics

Fatality Rate: _____ NFDL Rate: _____

Accident Data Reviewed:

7000-1's: _____ Computer Printouts: _____

Violation History:

Last Quarter: _____ Past Four Quarters: _____

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Two Most Cited Violations:

1. _____
2. _____

C. Other Considerations

Contacts: _____

State Representative Contact (if applicable): _____

Holmes Member: _____

Other: _____

D. Selection Criteria Used

1. _____
2. _____
3. _____
4. Other (specify): _____

E. Potential Target Areas

F. Other Comments

Attachment V - TMD Visit Summary

Specialist Name:
Mine Name:
Mine/Contractor ID:
Company Name:
Address/Phone No.:

Number of onsite days this
visit:
Date of last onsite visit:
Date of this report:

Commodity:
Mine type:
Number of employees:

Team members/titles:

NFDL incidence rate previous quarter:
Number of lost time accidents previous
quarter:

Indicate quarter:
Most frequent type(s) of accident(s) by accident classification previous quarter:

Job Performance Data

Number of jobs observed:

Job Safety Analysis Data

Total number of jobs with JSAs:
Number of new JSAs:

Other Assistance Provided

Check other assistance provided during the visit:

Violation Analysis:

Injury Analysis:

Substance Abuse:

Winter Alert:

Other (specify):

Chapter V - Small Mines Office

According to MSHA statistics, the incidence of fatalities at small mines has been greater than that of operations employing 20 or more. So, the Small Mines Office was created to help small mine operators enhance their safety and health efforts. For this compliance assistance program:

- Small mines are mines that employ five or fewer persons.
- Typically, these mines include partnerships or family-owned entities that, because of their small size, usually do not have engineering or health/safety/training resources.
- There are approximately 6,200 active small metal/nonmetal mines and 400 active small coal mines.

A. Mission Statement

MSHA will become a partner with small mine operators and their miners. By working together, we can help mine operators and miners create accident-free workplaces in which everyone exhibits the following behavior:

- Embraces safety and health as a value;
- Considers safety and health in planning work;
- Does not take unnecessary risks;
- Always wears personal protective equipment;
- Would never violate a safety rule; and
- Helps inexperienced miners and others.

For its success, the initiative depends on small mine operators making the safety and health of their employees a major goal. Health and safety must be a value and a key performance indicator of their business.

B. Goals and Objectives

- Foster cooperation and consultation with small mine operators to achieve a reduction in injuries and illnesses;
- Help operators develop and maintain effective safety and health programs tailored to fit the company;

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- Provide on-site compliance assistance to small mining operations throughout the country;
- Develop additional training materials, and expand informational resources on the web for small operators;
- Include small operators as a key audience in educational efforts regarding the bottom line value of safety and health; and
- Identify regulations that create undue burden on small mine operators and develop alternate ways to provide the same level of protection.

C. Services Offered by Small Mine Health & Safety Specialists

- Work one-on-one with small mine operators and miners and show them that safety is good business and help them develop and maintain an effective safety and health program tailored to fit the company.
- Make presentations at seminars and workshops highlighting the benefits of effective safety and health programs.
- Develop and maintain an ongoing working relationship with the mine owners and miners.
- Contact mine operators by telephone, e-mails, letters, and on-site visits on a regular basis.
- Make small business owners aware of other sources of assistance, including State Grants; Educational Field Services; Technical Support; Holmes Safety Association; and trade associations.
- Help small mine operators and their miners with compliance concerns.

D. Procedures for Mine Visits

1. Notify the district office and then call the appropriate field office supervisor for the area you intend to visit the small mine operators in the coming weeks, and schedule a visit with the supervisor. You should ask if you can make a short presentation for the field office staff. (Use the latest Small Mines PowerPoint Presentation.)

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2. On your first visit to a field office, meet with the Field Office Supervisor and, if possible, the compliance specialists. Use the PowerPoint presentation to present a summary of the Small Mines Office, explain the program and briefly walk them through the Safety and Health Program Notebook. Afterward, meet with Field Office Supervisor and discuss your planned activities in the field office. Get some advice from the supervisor regarding which operators you should visit, both from the safety & health needs standpoint of the operators and logistically how the operators are grouped by location. Subsequent visits can be coordinated by telephone, fax, or e-mail with the field office supervisor (see item 6 below).
3. Contact the small mine operators and schedule visits so that you can discuss the program and go through the notebooks with them. You should allow two to four hours for each visit. During your telephone conversation, you should get the full name of the mine, complete address, e-mail and fax number so you can print out a completed coversheet for the small mine's notebook and for the safety and health policy statement contained in the notebook.
4. Meet with the small mine operator and go through the notebook. At the end of the visit, you should obtain the remainder of the tracking information (best time to be contacted, etc.). Let them know that they will be receiving follow-up telephone calls and information by fax, e-mail or mail. Send a thank you letter within 2 weeks of your visit, if possible. In addition, you should let them know they should call you if they need compliance assistance or have safety and health questions. For any questions that you are unsure of or are uncomfortable with, you should let them know that you want to get a second opinion before you answer it and that you will get back to them. Such questions should be forwarded to your Small Mines Office supervisor.
5. At the end of the week or on Monday of the following week (latest acceptable day), you should e-mail (preferable method) or fax a copy of the information-tracking sheet to your Small Mines Office supervisor. In addition, the complete report should be faxed, mailed or hand-delivered (if practical) to the respective field office supervisor, and the findings reviewed.
6. You should continue to maintain contact (by telephone, fax, or e-mail) with the field office supervisors and let them know the list of mines that you are scheduled to visit in their area. You should attempt to give them 2 weeks notice, if possible.
7. We will provide spreadsheet reports to all small mine safety and health specialists, field office supervisors and district managers on a monthly basis, unless a different schedule is requested.

Chapter VI - Recordkeeping and Qualification & Certification Unit

The Educational Policy and Development Qualification and Certification Unit is responsible for processing and tracking the approval of instructors and the qualifications and certifications received by the Nation's miners. The regulations that are used for approving instructors and for qualifying and certifying mining industry personnel are covered under 30 CFR Parts 48, 70, 71, 75 and 77. This chapter covers the recordkeeping required of the Districts in implementing MSHA's training forms (refer to forms at the end of the chapter) and data tracking system.

A. Electrical Recordkeeping (Coal Only)

1. Electrical Exam Codes (MSHA Form 5000-17)

The electrical codes have changed through their history. The current electrical codes are listed below:

ZN - Electrical Exam Code for Underground under Part 75.153. The exam code is recorded on an MSHA Form 5000-17 by the examiner and returned to the Qualification and Certification Unit for processing. An MSHA Authorized Representative (AR) or Right of Entry (ROE) may give Electrical Exams and the following states have cooperative agreements with MSHA to give Electrical Exams; Alabama, Colorado, Kentucky, Ohio, Tennessee, Utah, Virginia and West Virginia. This exam code will result in the miner receiving qualification for Electrical Underground (QA).

ZO - Electrical Exam Code for Surface under Part 77.103. The exam code is recorded on an MSHA Form 5000-17 by the examiner and returned to the Qualification and Certification Unit for processing. An MSHA AR or ROE may give Electrical Exams and the following states have cooperative agreements with MSHA to give Electrical Exams; Alabama, Colorado, Kentucky, Ohio, Tennessee, Utah, Virginia and West Virginia. This exam code will result in the miner receiving qualification for Electrical Surface (QB).

Electrical Exam Code Before 12/31/2001

The electrical codes were changed as of January 1, 2002. The primary change of the electrical code ZP - Electrical High Voltage Underground/Surface is the inclusion of the High Voltage with Low/Medium Surface and/or Low/Medium Underground. Even though the code has changed, they are still used in history reports.

2. Electrical Initial Training Codes

EB - Electrical Initial Training Code for Underground under Part 75.153. The initial training code is recorded on an MSHA Form 5000-1 by an instructor that has been approved to teach initial training. All 5000-1 forms that are submitted for Electrical Initial Training must be approved by the District Electrical Supervisor. Once the 5000-1 form is approved at the district level, it can be forwarded to the Qualification and Certification Unit via paper form or E-Gov for processing. The approval process for Initial Electrical Training will be included in the new Mine Safety Information System (MSIS). This code will result in the miner receiving qualification for Electrical Underground (QA).

ED - Electrical Initial Training Code for Surface under Part 77.103. The initial training code is recorded on an MSHA Form 5000-1 by an instructor that has been approved to teach initial training. All 5000-1 forms that are submitted for Electrical Initial Training must be approved by the District Electrical Supervisor. Once the 5000-1 form is approved at the district level, it can be forwarded to the Qualification and Certification Unit via paper form or E-Gov for processing. The approval process for initial electrical training will be included in the new Mine Safety Information System (MSIS). This code will result in the miner receiving qualification for Electrical Surface (QB).

Electrical Initial Training Code Before 12/31/2001

The electrical codes were changed as of January 1, 2002. The primary change in the electrical code ER - Electrical High Voltage Underground/Surface is the inclusion of the High Voltage with Low/Medium Surface and/or Low/Medium Underground. Even though the code has changed, they are still used in history reports.

3. Electrical Reinstatement Codes

Electrical Reinstatement codes for miners will be added to the Electrical program to help maintain the miner's historical records. In the past, miners have missed retraining for various reasons. Often District Managers would grant miners an extension for training or a deferment for the missed year. The only way the old computer system would allow for miners to retain their qualifications were to use initial training codes. The new system has been designed to allow for miners to be reinstated. Miners who are approved for reinstatement will receive the qualifications through the end of the year in which they are submitted. Example, if a miner is reinstated in July of 2004, the qualification will expire December 31,

2004. Likewise, the miner will need to have electrical retraining in 2004 in order to receive qualifications that expire in 2005. The Electrical Reinstatement Codes are as follows:

RU - Electrical Reinstatement Code for Underground under Part 75.153. The reinstatement code is recorded on an MSHA Form 5000-1 by an MSHA employee that has approval authority. All 5000-1 forms that are submitted for Electrical Reinstatement must be approved by the District Electrical Supervisor. Once the 5000-1 form is approved at the district level it can be forwarded to the Qualification and Certification Unit for processing. This code will result in the miner receiving qualification for Electrical Underground (QA).

RS - Electrical Reinstatement Code for Surface under Part 77.103. The reinstatement code is recorded on an MSHA Form 5000-1 by an MSHA employee that has approval authority. All 5000-1 forms that are submitted for Electrical Reinstatement must be approved by the District Electrical Supervisor. Once the 5000-1 form is approved at the district level it can be forwarded to the Qualification and Certification Unit for processing. This code will result in the miner receiving qualification code for Electrical Surface (QB).

4. Electrical Annual Retraining Codes

EC - Electrical Annual Retraining Code for Underground under Part 75.153. The annual retraining code is recorded on an MSHA Form 5000-1 and then sent to the Qualification and Certification Unit via paper form or E-Gov for processing. This code will result in the miner receiving credit for the training. If deemed appropriate the miner will receive the qualification code Electrical Low/Medium Voltage Underground (QA).

EE - Electrical Annual Retraining Code for Surface under Part 77.103. The annual retraining code is recorded on an MSHA Form 5000-1 and then sent to the Qualification and Certification Unit via paper form or E-Gov for processing. This code will result in the miner receiving credit for the training. If deemed appropriate the miner will receive the qualification code Electrical Low/Medium Voltage Surface (QB).

Electrical Retraining Code Before 12/31/2001

The electrical codes were changed as of January 1, 2002. The primary change in the electrical codes ES - Electrical High Voltage Underground/Surface is the inclusion of the High Voltage with Low/Medium Surface and/or Low/Medium

Underground. Even though the codes have changed, they are still used in history reports.

5. Electrical Denial Notice

Miners can be denied electrical qualifications for many reasons. When a miner is denied for a qualification, a denial notice will be sent to the person that submitted the request. In addition to the denial notice, a copy of the miner's electrical history will be sent to the requestor. The district responsible for the miner will receive all denial notices and electrical history reports electronically via MSIS.

6. Instructions for Completing MSHA Form 5000-1

This form is used to report electrical training when the applicant attends a formal training session conducted by an MSHA instructor or an MSHA approved instructor. The form is sent to Qualification & Certification via paper form or the MSIS System electronically for processing and issuance of qualification cards if all requirements have been met.

· Item 1. Company Name and Address

The full name and address of the Company should be completely filled in. This will be the address used to send the Electrical Qualification cards unless instructed to send to a different address in item 8.

· Item 2. Mine ID (MID) or Contractor ID (CID)

The MID or CID number may be filled in. This number was assigned by MSHA. If the MID or CID is used and no other address is marked in item 8, then the cards or denial notice will be mailed to the MID or CID address of record.

· Item 3. Instructor's Name

The Last Name and First Name of the instructor who gave the electrical training.

· Item 4. Instructor's Social Security Number

This is a required field. The instructor is only allowed to teach what they are approved to teach through MSHA. By providing the Social Security Number MSHA records can be checked to insure that the instructor has permission to teach this class.

· Item 5. Name of County and State Where Training Took Place

This is a required field. County and State is required to provide information to the appropriate district if the MID or CID is not used where training took place.

· **Item 6. AR/ROE No.**

This field is for MSHA use only.

· **Item 7. Date Completed**

This is a required field for the date that the training was completed.

· **Item 8. Social Security Number [and Choice for Where to Send Cards]**

This is a required field for the individual's social security number. Also check the box indicating where to send the cards. Check the box labeled *Mine Address* or *Contractor Address* if the cards are to be sent to the address associated with the MID or CID on record with MSHA. Check the box *Company Address* if the cards are to be sent to the address located in Item 1. Check the box *Miner Address* if the cards are to be sent to the individual miner and enter the address in Item 10.

· **Item 9. Name**

This is a required field. Enter the Last Name, First Name, and Middle Initial (MI) for the individual that is receiving the training.

· **Item 10. Address if Sent to the Miner**

Fill in the Miner's information if, in Item 8, the box Miner Address was selected. This is the address that the cards will be sent.

· **Item 11. Electrical Codes**

These check boxes should be used to indicate which training the individual received.

EB - Initial Underground Training

ED - Initial Surface Training

EC - Retraining Underground

EE - Retraining Surface

· **Item 12. MSHA Use Only [codes]**

Only MSHA personnel can fill in these codes. RU and RS codes are now used to reinstate an Electrical Qualification so that it doesn't appear as though the individual is taking initial training repetitively.

RU - Reinstatement Underground

RS - Reinstatement Surface

· **Item 13. Signature for Instructor**

The signature of the Instructor identified in Item 3 must appear here to "Certify that the above individuals have completed the course(s) indicated."

B. MSHA Approved Instructor MSHA Form 5000-13 (Coal & MNM)

Instructors need two basic qualifications to become MSHA approved instructors: (1) knowledge of subject matter and (2) effective teaching skills. After the District Office or Educational Field Services have completed the evaluation process, an MSHA Form 5000-13 paper or electronic form must be completed in order to enter the information into the Qualification and Certification Instructor system.

The following codes are used in describing the approval method used:

1. MAIN Method Codes

- AI - Instructor approved based on qualification and teaching experience
- PI - Instructor approved provisionally until MSHA can monitor performance
- MI - Instructor monitored and evaluated by MSHA

2. SUB Method Codes

- TE - Instructor trained by MSHA
- TD - Instructor(s) who have been trained by an MSHA approved/designated instructor

These codes should be used in conjunction with AI and PI.

3. Instructor Approved Course(s) and Limitations

The CFR 30, Part 48 is broken into 2 major areas Surface and Underground. An Instructor can be approved to teach all of Part 48 or an instructor can be approved to teach only certain sections. An Instructor who can only teach certain sections of Part 48 is considered a Limited Instructor and is limited to sections such as 48.6 or 48.26 (refer to b. Instructors Section Limitation Options). Limitations can also be applied by using the sub-limitation codes (refer to c. Instructor's Sub-limitation Codes). In either case the instructor can only be limited to teach sections or codes, not from teaching sections or codes.

These codes are listed on MSHA Form 5000-13.

a. Primary Instructor Code(s)

- IS - Surface
- IU - Underground

b. Instructor's Section Limitation Options

- Part 48.5, 48.6, 48.8
- Part 48.25, 48.26, 48.28

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The limitation section is directly linked to the primary instructor's code of IU, IS. If these sections are used to limit an instructor, the sub-limitation codes listed below should not be used.

c. Instructor's Sub-limitation Codes

SM - Statutory Rights of Miners
SR - Self-Rescue and Respiratory Devices
TC - Transportation Controls and Communication
WE - Introduction to the Work Environment
EP - Escape and Emergency Procedures
GC - Ground Control
RV - Roof and Rib Control and Ventilation
HA - Health
HR - Hazard Recognition
EH - Electrical Hazards
FA - First Aid
EX - Explosives
MG - Mine Gases
HS - Health and Safety Aspects
RD - Clean-up Rock Dusting
ST - Mandatory Health / Safety Standards
BC - Barricading
PA - Prevention of Accidents

If the above sub-limitations are used to limit an instructor, they must be linked to an IU or IS code. These limitation codes can not be used together with the section limitations.

d. Other Instructor Codes

MR - Mine Rescue
MS - Mine Emergency Training
CH - Gas Detection
CI - Dust Certification (Underground)
CS - Dust Certification (Surface)
CZ - Impoundment Inspection
EB - Electrical Initial Training (Underground)
EC - Electrical Annual Retraining (Underground)
ED - Electrical Initial Training (Surface)
EE - Electrical Annual Retraining (Surface)
HT - Hoist-man Qualification
IN - Instructor Trainer

4. Instructions for Completing MSHA Form 5000-13

This form is used when approving, updating or disabling an instructor's record from the MSHA approved instructor list. This form is completed by Educational Field Services, Metal or Coal District offices and approved at the district. After the form has been approved by the District Manager, submit it to the Qualification & Certification Unit in Denver via paper form or the MSIS system.

· **Item 1. Company Name and Address**

The full name and address of the Company should be completely filled in.

· **Item 2. District**

List the District Code responsible for the approval.

Coal District Codes

C0100 - Coal District 1
C0200 - Coal District 2
C0300 - Coal District 3
C0400 - Coal District 4
C0500 - Coal District 5
C0600 - Coal District 6
C0700 - Coal District 7
C0800 - Coal District 8
C0900 - Coal District 9
C1000 - Coal District 10
C1100 - Coal District 11

Metal/Non Metal District Codes

M2000 - Northeastern District
M3000 - Southeastern District
M4000 - North Central District
M5000 - South Central District
M6000 - Rocky Mountain District
M7000 - Western District

· **Item 3. Date Approved by District**

The approval date should match the date that is on the District Approval letter if a letter is supplied. This is a required field.

· **Item 4. District Manager Signature (Required)**

Whenever a 5000-13 form is submitted, it must be signed by the District Manager before the Qualification & Certification Unit can process it.

· **Item 5. Recommended by**

The person's name who is recommending that individual become an MSHA Approved Instructor.

· **Item 6. Social Security Number**

The Social Security Number for the individual obtaining Instructor Certifications.

· **Item 7. Name**

The Last, First, MI of the individual obtaining Instructor Certifications.

· **Item 8. Use Instructor Name and Address for Contact**

If the cards are to be sent directly to the Instructor, check Yes, and enter the address in item 13. If the cards are to be mailed directly to the company, check No, and the card will be sent to the address in Item 1.

· **Item 9. Monitor Status**

When an instructor is monitored by MSHA personnel, the date that the instructor was monitored and the AR/ROE number for the MSHA person is required. The course codes monitored are also required. If the comment section for monitoring is not long enough, attach comments to the 5000-13 form.

· **Item 10. Select How Instructor Was Trained**

Mark if the instructor was trained by a Designated Instructor or E&T Instructor.

· **Item 11. Type of Instructor**

There are 4 different types of instructors. Please choose the type of instructor for the applicant.

· **Item 12. Instructor's Approval Status**

AI - Approved Instructor

PI - Instructor approved provisionally until MSHA can monitor performance

· **Item 13. Instructor's Address**

If in Item 8 you choose to have the instructor be the contact person, enter the address in item 13.

· **Item 14. Codes**

Mark which codes this instructor will have permission to teach.

· **Item 15. Limitations by Section**

If the instructor is limited to teaching only certain parts, please choose which parts in this section.

C. Non Expiring Exams Offered by MSHA (MSHA Form 5000-17) (Coal Only)

The following exams are offered by MSHA to miners or MSHA employees for qualification in tasks required under 30 CFR:

1. Dust Sampling

Dust Sampling Exam Code (ZH) is recorded on an MSHA Form 5000-17 by the examiner and returned to the Qualification and Certification Unit for processing. The exam can only be given by MSHA personnel. This exam code will result in the miner receiving a dust sampling certification code of QO.

2. Dust Equipment Calibration and Maintenance

Dust Equipment Calibration and Maintenance Exam Code (ZJ) is recorded on an MSHA Form 5000-17 by the examiner and returned to the Qualification and Certification Unit for processing. The exam can only be given by MSHA personnel. This exam code will result in the miner receiving a Dust Equipment Calibration and Maintenance qualification code of SM.

3. Certified to Weigh & Process Dust Sampling

Certified to Weigh & Process Dust Sampling Exam Code (ZK) is recorded on an MSHA Form 5000-17 by the examiner and returned to the Qualification and Certification Unit for processing. The exam can only be given by MSHA personnel. This exam code will result in the employee receiving a Certified to Weigh & Process Dust Sampling qualification code of QP. **This exam code can only be given to an MSHA employee.**

4. Certified Laboratory Technician

Certified Laboratory Technician Exam Code (ZM) is recorded on an MSHA Form 5000-17 by the examiner and returned to the Qualification and Certification Unit for processing. MSHA personnel can only give the exam. This exam code will result in the employee receiving a Certified Laboratory Technician qualification code of QQ. **This exam code can only be given to an MSHA employee.**

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With the start of the Mine Safety Information System (MSIS), the codes for Methane and Oxygen have been changed. Listed are both the current and the new MSIS codes:

5. Current Methane/Oxygen Exam Codes

- ZC - Methane Underground Exam Code
- ZD - Methane Surface Exam Code
- ZF - Oxygen Deficiency Underground Exam Code
- ZG - Oxygen Deficiency Surface Exam Code

Current Methane/Oxygen Qualification Codes

- QI - Methane Underground Qualification Code
- SI - Methane Surface Qualification Code
- QN - Oxygen Deficiency Underground Qualification Code
- SK - Oxygen Deficiency Surface Qualification Code

6. New Methane/Oxygen Exam Codes (MSIS)

- XU - Methane/Oxygen Deficiency Underground Code
- XS - Methane/Oxygen Deficiency Surface Code

New Methane/Oxygen Qualification Codes (MSIS)

- OU - Methane/Oxygen Deficiency Underground Code
- OS - Methane/Oxygen Deficiency Surface Code

7. Other Exam Codes

- ZE - Impoundment Inspection Exam Code
- ZX - Explosives/Blasting Exam Code

Other Qualification Codes

- SJ - Impoundment Inspection Qualification Code
- QY - Explosives/Blasting Qualification Code

8. Instructions for Completing MSHA Form 5000-17

Use this form to report certification/qualification when the candidate meets the requirements by passing a written examination given by MSHA or an MSHA approved State Examiner.

· Item 1. Company Name and Address

The Company name and address should be completely filled in.

· **Item 2. [Exam Given by and] Date of Exam**

Check off who administered the exam, an MSHA or a State representative. Also, enter the date the exam was administered.

· **Item 3. Mine ID or Contractor ID**

The MSHA assigned MID or CID number may be filled in. This number was assigned by MSHA.

· **Item 4. AR/ROE No. (MSHA only)**

This field is for MSHA use only. This field must be filled in with the AR/ROE number of the person giving the exam. It is a required field.

· **Item 5. Examiner's Last, First Name and Middle Initial**

This is the name of the person giving the exam.

· **Item 6. State Where Exam Was Given**

Enter the abbreviated state code where the exam was given, e.g., CO for Colorado.

· **Item 7. Social Security Number and Select Where Cards are to be Sent**

The individual's social security number who is taking the exam is to be entered here. Also check the box indicating where to send the cards. Check the box labeled *Mine Address* or *Contractor Address* if the cards are to be sent to the address associated with the MID or CID on record with MSHA. Check the box *Company Address* if the cards are to be sent to the address located in Item 1. Check the box *Miner Address* if the cards are to be sent to the individual miner and enter the address in Item 9.

· **Item 8. Name**

The Last, First, MI of the individual taking the exam.

· **Item 9. Address if Sent to the Miner**

Fill in the Miner's information if, in Item 7, the box Miner Address was checked. This is the address that the cards will be sent.

· **Item 10. Test Codes**

Check the boxes for the test codes that were administered during this exam.

· **Item 11. Signature of Examiner**

The signature for the examiner identified in Item 5 to "Certify that the above individuals have completed the courses indicated."

· **Item 12. Today's Date**

Enter the date.

**D. Health Activity Certification or Hoisting Qualification MSHA Form 5000-41
(Coal Only)**

1. Activity Certification Codes

CA - Certification Underground Foreman
CB - Certification Underground Assistant
CC - Certification Underground Preshift Examiner
CS - Certification Surface

The above certification codes for underground and surface are recorded on an MSHA Form 5000-41 by the operator of the mine or independent contractor. The certification is valid as long as the miner remains employed at the same mine or contractor. Underground codes must be approved by the district. District approval of Activity Certifications for underground will be done through MSIS. The completed form is sent to the Qualification & Certification Unit in Denver for processing and issuance of a Qualification or Certification Card. This form will also be available via the internet through E-Gov. When the form is submitted via E-Gov, the system will decide which district is responsible for the mine or contractor and that district will receive the form electronically. Each district will receive a report via MSIS that states that certain miners have requested underground Activity Certifications. The district will process the requests. The Qualification and Certification Unit will then send out approvals or disapprovals as appropriate.

2. Hoisting Qualification Codes

SG - Hoisting Surface
QG - Hoisting Underground

The above qualification codes for underground and surface are recorded on an MSHA Form 5000-41 by the operator of the mine or independent contractor. The qualification is valid as long as the miner remains employed at the same mine or contractor.

3. Instructions for Completing MSHA Form 5000-41

This form is used by operators to certify that an applicant has the required experience and meets all applicable requirements of: Sections 75.100 and

77.100 to become a certified person; or, Sections 75.155 and 77.105 to become Qualified to operate a hoist. The completed form is sent to the Qualification & Certification Unit in Denver for processing and issuance of a Certification or Qualification Card. This form will also be available via the internet through E-Gov. When the form is submitted via E-Gov, the district that is responsible for the mine or contractor will receive an approval request for all Activity Certifications that pertain to underground certifications.

· **Item 1. Company Name and Address**

The full name and address of the Company should be completely filled in. This is not required if certification cards are to be mailed to the mine-id address of record or the contractor-id address of record.

· **Item 2. Mine ID or Contractor ID**

The MSHA assigned MID or CID number must be filled in. This number was assigned by MSHA. It is a required field.

· **Item 3. Social Security Number**

This is a required field. The individual's social security number who is receiving the Certification or Qualification is to be entered here.

· **Item 4. Select Where the Cards are to be Sent**

Check the box indicating where to send the cards. Check the box labeled *Mine Address* or *Contractor Address* if the cards are to be sent to the address associated with the MID or CID on record with MSHA. Check the box *Company Address* if the cards are to be sent to the address located in Item 1. Check the box *Miner Address* if the cards are to be sent to the individual miner and enter the address in Item 6.

· **Item 5. Name**

The Last, First, MI of the individual receiving the Certification or Qualification.

· **Item 6. Address if Cards are to be Sent to Miner**

Fill in the Miner's information if, in Item 3, the box Miner Address was checked. This is the address that the cards will be sent.

· **Item 7. Certifications**

Choose the box designated for the type of Certification requested.

· **Item 8. Hoisting**

Choose the box designated for the Hoisting Qualification requested.

· **Item 9. Type of Hoist**

Choose the type of Hoist requested.

· **Item 10. Signature for Hoisting Qualification Request**

If a box in Item 8 is marked, the person requesting that the individual(s) be given the Hoisting Qualification must sign here.

· **Item 11. Date**

The date the Qualification is being requested.

· **Item 12. Signature for Activity Certification Request**

If a box in Item 7 is marked, the person requesting that the individual(s) be given the Certification must sign here.

· **Item 13. Date**

The date the Certification is being requested.

E. Certificate of Training MSHA Form 5000-23 (Coal & MNM)

The Certificate of Training is issued to document that a miner received Part 48 training. At the completion of each training program, such as new miner or annual refresher training, the 5000-23 form is completed to properly record the training and a copy is given to the miner. This form is not submitted to MSHA.

If employees terminate employment, they are entitled to a copy of their training certificates. The operator must keep a copy at the mine site for 2 years, or for 60 days after termination of employment.

Instructions for Completing MSHA Form 5000-23

The current 5000-23 form has an expiration date of November 30, 2004, however, previously issued forms with an earlier expiration date may still be used. The printed version comes with four copies. Listed below are notations, which appear on the bottom right-hand side of the form, showing the intended use of each copy:

- Copy 1 (white) - Employer's Personnel Record
- Copy 2 (pink) - Employee's Record Copy
- Copy 3 (yellow) - Employee's Separation Copy
- Copy 4 (green) - Record Keeping

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· **Item. Serial Number (for operator's use)**

This is an optional field which may be used to help track employees by an identification number. There is no Federal requirement to use this field.

· **Item 1. Print Full Name of Person Trained (first, middle, last)**

Enter the person's name who has received the training.

· **Item 2. Check Type of Approved Training Received**

There are five boxes for the five types of training required. Check the appropriate box(es) to indicate what training was given.

When New Task is checked, additional space is provided to record one to eight task training events. This space is used to identify each task and to allow for the initials of the instructor(s) and the student (miner), as needed.

· **Item 3. Check Type of Operation and Related Industry**

Mark the box for the appropriate commodity: coal, metal or nonmetal. Mark the box for the appropriate location: surface or underground. Mark the appropriate box if the training is for construction or shaft and slope work. When completed, the boxes should identify the type of mining, location, and if construction or shaft and slope activities are involved.

· **Item 4. Date Training Requirements Completed**

Depending on whether the training is complete or partial will determine how this item is completed. Only entering a date indicates that the training marked in item 2 is completed.

Placing a check in the box to the right of the date entry, indicates that the training for the program(s) marked in item 2 is not complete. The appropriate boxes in item 5 must then be checked to indicate what subjects were completed.

The following are examples of partially completed training: (1) training for new miners given away from the mine site (which will then require site specific training at the mine); (2) utilizing the 8 and 16 hours in 60-day provision for newly employed inexperienced surface miners; and (3) providing partial annual refresher training.

· **Item 5. Check Subjects Completed (use only for partially completed training)**

This is generally used for conducting annual refresher training in increments throughout an annual refresher cycle; or for newly employed inexperienced miner training which does not cover mine specific courses that are required to be covered at the mine site.

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· Item 6. Signature of person responsible for training

Upon completion of an MSHA approved training program, such as experienced miner, task, or annual refresher training, you must record and certify on the 5000-23 form that the miner has received the specified training.

The person signing the form in item 6 is representing that the miner has received the indicated training. Anyone falsifying the 5000-23 form is criminally liable under section 110(a) and (f) of the Federal Mine Safety and Health Act.

Generally, the person signing the form is the mine operator or a person acting on behalf of the operator. For example, a company safety official, a trainer employed or contracted by the operator, or a cooperative instructor (such as, a state grantee).

· Item 7. Mine Name, ID, & Location of Training (if institution, give name & address)

List the mine name, ID and location where training was conducted. If the training was conducted by a cooperative instructor or state grantee and a class participant is not employed at a particular mine, enter the cooperative instructor's name or state name and address.

· Item 8. Date and (signature of person trained)

The person trained has the option of signing and dating the form, acknowledging that the training indicated on the form was received.

F. Mine Training Plan MSHA Form 4000-56 (MNM Only)

This form is used to record mines that have an approved mine training plan. A training specialist usually completes this form and enters it in the Management Information System (MIS). A copy of the form is also kept with the training plan file.

Instructions for Completing MSHA Form 4000-56

· Item. Add / Change / Delete

Use Add for a new plan; Change for a revision; or Delete to delete a plan. This is a required field.

· Item. Mine ID

Enter Mine ID number. This is a required field.

· Item. CFR Reference

Enter Part "48 A" or "48 B." This is a required field.

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· **Item. Approval or Revision**

Check box for Approval or Revision. This is a required field.

· **Item. Date of Action**

This is required for additions or deletions.

· **Item. Reviewed By**

AR number of the person conducting the review.

· **Item. Text**

Comments on the plan.

· **Item. Employee Number**

AR number of the person submitting the review. This is a required field.

G. Required Records

The following is a list of required District and Educational Field Services Office records:

1. Training Plans
 - a. Training Plan
 - b. Approval Correspondence
 - c. Revisions and Modifications
2. Instructor Update File
 - a. Form 5000-13
 - b. Instructor Revocation/Approval Administrative Records
3. Education and Training Mine Visit Report. This report is available on the Educational Field Services System.
4. Education and Training Plan for Part 48

5. Evaluations

- a. Interview Summary Sheet
- b. Final Report

H. Products and Services Available from the Qualification and Certification Portion of Mine Safety Information System (MSIS)

The Mine Safety Information System (MSIS) has the following educational related resources available. These reports and queries are educational related. For more general information, such as Mine ID reports, see other resources available through MSIS. These resources are available for all MSIS user's that have the appropriate permissions on MSIS.

1. Reports:

- Approved Instructor List
- Approved Instructor's Training Course History
- Miner Qualifications/Certifications
- Miner's History
- Miner with No Methane/Oxygen and have Certifications
- Miner/Instructor Revoked

The above reports have replaced the old reports. While the number of reports looks quite limited, the reports have retained the same functionality that was available before moving to MSIS. The reports have been developed to give the requestor the maximum amount of flexibility.

2. Queries:

- Approved Instructor Look-up
- Miner Certifications/Qualifications Look-up

The "Look-up" queries will allow the user to look-up the SSN for an instructor or a miner by last name, first name, SSN, or parts of either.

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For personnel not on the MSIS, requests for these items can be made to the following addresses or telephone number:

Mine Safety and Health Administration
Qualification & Certification Unit
P.O. Box 25367
Denver, Colorado 80225-0367

E-mail: zzMSHA-EPDQC@DOL.gov
Telephone: 303-231-5472

Certificate of Electrical Training

MSHA Form 5000-1

**U.S. Department of Labor
Mine Safety and Health Administration**

This form is affected by the Privacy Act of 1974. Approved for use through April 4, 2004, OMB Number 1218-0001. This form replaces previous versions of Form 5000-1.

Item 1. Company Name and Address (If the address below is blank, information will be sent to address selected in Item 8.)

Company Name _____

Address _____

Street 1 _____

Street 2 _____

City _____

State _____ Zip _____

Item 2. Mine ID and/or Contractor ID _____

Item 3. Instructor's Name _____

Item 4. Instructor's Social Security Number: _____

Item 5. Name of County and State Where Training Took Place: _____ (State 2 Letter Alpha)

Item 6. ARIPOE No. (MSHA only) _____

Item 7. Date Completed _____

W M D D Y Y Y Y

Item 8. Social Security Number _____

Item 9. Name (Last, First, MI)

Last _____ First _____ MI _____

Item 10. Address (If Sent To The Miner)

Street 1: _____

Street 2: _____

City: _____ State: _____

Zip: _____

30 CFR 75.126 and 77.108: (Electrical work Qualified person) establish the procedure under which miners are qualified to perform electrical work in the underground and surface coal mines. MSHA Form 5000-1 provides coal mine operators with a standard reporting format which expedites the certification and qualification process while ensuring compliance with regulations. The information provided on the form enables MSHA to determine if miners satisfy the requirements to obtain the certification/qualification sought. The collection of information is covered by the Privacy Act notice published in the Federal Register, 59 FR 22820, 4/23/94. For more information, see the description in the National Bureau of Standards Publication, Computer Security Guidelines for Implementing the Privacy Act of 1974, and in accordance with procedures developed by MSHA, 2003 E-34.

Public reporting burden for this collection of information is estimated to average 26 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Persons are not required to respond to this collection of information unless it displays a currently valid OMB Control Number. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to: Records Management Branch • Mine Safety and Health Administration • 1100 Wilson Boulevard • Arlington, VA 22208-3809

	Item 11. Electrical Codes				Item 12. MSHA Use Only
	Underground (EB)	Surface (ED)	Underground (EC)	Surface (EE)	
1.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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Certificate of Electrical Training		U.S. Department of Labor Mine Safety and Health Administration										
Continued from page 1												
4.	Mine Address (MSHA File) Contractor Address (MSHA File) Company Address (Item 1) Miner Address (Item 10)	Last First MI	Attn: Street 1: Street 2: City: State: Zip:	<input type="checkbox"/> EB <input type="checkbox"/> ED <input type="checkbox"/> EC <input type="checkbox"/> EE <input type="checkbox"/> RU <input type="checkbox"/> RS	<input type="checkbox"/> EB <input type="checkbox"/> ED <input type="checkbox"/> EC <input type="checkbox"/> EE <input type="checkbox"/> RU <input type="checkbox"/> RS	<input type="checkbox"/> EB <input type="checkbox"/> ED <input type="checkbox"/> EC <input type="checkbox"/> EE <input type="checkbox"/> RU <input type="checkbox"/> RS	<input type="checkbox"/> EB <input type="checkbox"/> ED <input type="checkbox"/> EC <input type="checkbox"/> EE <input type="checkbox"/> RU <input type="checkbox"/> RS	<input type="checkbox"/> EB <input type="checkbox"/> ED <input type="checkbox"/> EC <input type="checkbox"/> EE <input type="checkbox"/> RU <input type="checkbox"/> RS	<input type="checkbox"/> EB <input type="checkbox"/> ED <input type="checkbox"/> EC <input type="checkbox"/> EE <input type="checkbox"/> RU <input type="checkbox"/> RS	<input type="checkbox"/> EB <input type="checkbox"/> ED <input type="checkbox"/> EC <input type="checkbox"/> EE <input type="checkbox"/> RU <input type="checkbox"/> RS	<input type="checkbox"/> EB <input type="checkbox"/> ED <input type="checkbox"/> EC <input type="checkbox"/> EE <input type="checkbox"/> RU <input type="checkbox"/> RS	
5.	Mine Address (MSHA File) Contractor Address (MSHA File) Company Address (Item 1) Miner Address (Item 10)	Last First MI	Attn: Street 1: Street 2: City: State: Zip:	<input type="checkbox"/> EB <input type="checkbox"/> ED <input type="checkbox"/> EC <input type="checkbox"/> EE <input type="checkbox"/> RU <input type="checkbox"/> RS	<input type="checkbox"/> EB <input type="checkbox"/> ED <input type="checkbox"/> EC <input type="checkbox"/> EE <input type="checkbox"/> RU <input type="checkbox"/> RS	<input type="checkbox"/> EB <input type="checkbox"/> ED <input type="checkbox"/> EC <input type="checkbox"/> EE <input type="checkbox"/> RU <input type="checkbox"/> RS	<input type="checkbox"/> EB <input type="checkbox"/> ED <input type="checkbox"/> EC <input type="checkbox"/> EE <input type="checkbox"/> RU <input type="checkbox"/> RS	<input type="checkbox"/> EB <input type="checkbox"/> ED <input type="checkbox"/> EC <input type="checkbox"/> EE <input type="checkbox"/> RU <input type="checkbox"/> RS	<input type="checkbox"/> EB <input type="checkbox"/> ED <input type="checkbox"/> EC <input type="checkbox"/> EE <input type="checkbox"/> RU <input type="checkbox"/> RS	<input type="checkbox"/> EB <input type="checkbox"/> ED <input type="checkbox"/> EC <input type="checkbox"/> EE <input type="checkbox"/> RU <input type="checkbox"/> RS	<input type="checkbox"/> EB <input type="checkbox"/> ED <input type="checkbox"/> EC <input type="checkbox"/> EE <input type="checkbox"/> RU <input type="checkbox"/> RS	
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7.	Mine Address (MSHA File) Contractor Address (MSHA File) Company Address (Item 1) Miner Address (Item 10)	Last First MI	Attn: Street 1: Street 2: City: State: Zip:	<input type="checkbox"/> EB <input type="checkbox"/> ED <input type="checkbox"/> EC <input type="checkbox"/> EE <input type="checkbox"/> RU <input type="checkbox"/> RS	<input type="checkbox"/> EB <input type="checkbox"/> ED <input type="checkbox"/> EC <input type="checkbox"/> EE <input type="checkbox"/> RU <input type="checkbox"/> RS	<input type="checkbox"/> EB <input type="checkbox"/> ED <input type="checkbox"/> EC <input type="checkbox"/> EE <input type="checkbox"/> RU <input type="checkbox"/> RS	<input type="checkbox"/> EB <input type="checkbox"/> ED <input type="checkbox"/> EC <input type="checkbox"/> EE <input type="checkbox"/> RU <input type="checkbox"/> RS	<input type="checkbox"/> EB <input type="checkbox"/> ED <input type="checkbox"/> EC <input type="checkbox"/> EE <input type="checkbox"/> RU <input type="checkbox"/> RS	<input type="checkbox"/> EB <input type="checkbox"/> ED <input type="checkbox"/> EC <input type="checkbox"/> EE <input type="checkbox"/> RU <input type="checkbox"/> RS	<input type="checkbox"/> EB <input type="checkbox"/> ED <input type="checkbox"/> EC <input type="checkbox"/> EE <input type="checkbox"/> RU <input type="checkbox"/> RS	<input type="checkbox"/> EB <input type="checkbox"/> ED <input type="checkbox"/> EC <input type="checkbox"/> EE <input type="checkbox"/> RU <input type="checkbox"/> RS	
8.	Mine Address (MSHA File) Contractor Address (MSHA File) Company Address (Item 1) Miner Address (Item 10)	Last First MI	Attn: Street 1: Street 2: City: State: Zip:	<input type="checkbox"/> EB <input type="checkbox"/> ED <input type="checkbox"/> EC <input type="checkbox"/> EE <input type="checkbox"/> RU <input type="checkbox"/> RS	<input type="checkbox"/> EB <input type="checkbox"/> ED <input type="checkbox"/> EC <input type="checkbox"/> EE <input type="checkbox"/> RU <input type="checkbox"/> RS	<input type="checkbox"/> EB <input type="checkbox"/> ED <input type="checkbox"/> EC <input type="checkbox"/> EE <input type="checkbox"/> RU <input type="checkbox"/> RS	<input type="checkbox"/> EB <input type="checkbox"/> ED <input type="checkbox"/> EC <input type="checkbox"/> EE <input type="checkbox"/> RU <input type="checkbox"/> RS	<input type="checkbox"/> EB <input type="checkbox"/> ED <input type="checkbox"/> EC <input type="checkbox"/> EE <input type="checkbox"/> RU <input type="checkbox"/> RS	<input type="checkbox"/> EB <input type="checkbox"/> ED <input type="checkbox"/> EC <input type="checkbox"/> EE <input type="checkbox"/> RU <input type="checkbox"/> RS	<input type="checkbox"/> EB <input type="checkbox"/> ED <input type="checkbox"/> EC <input type="checkbox"/> EE <input type="checkbox"/> RU <input type="checkbox"/> RS	<input type="checkbox"/> EB <input type="checkbox"/> ED <input type="checkbox"/> EC <input type="checkbox"/> EE <input type="checkbox"/> RU <input type="checkbox"/> RS	

False certification is punishable under section 110(a) and (f) of the Federal Mine Safety and Health Act (PL 91-173 as amended by PL 95-164)

Item 13. Signature for Instructor (I certify that the above individuals have completed the courses indicated)

		MSHA Form 5000-13 U.S. Department of Labor Mine Safety and Health Administration
Instructor's File Update This form is affected by the Privacy Act of 1974		
Item 1. Company Name and Address (if cards are to be sent to instructor directly fill in address in item 13.) Company Name _____ Alt#: _____ Street 1 _____ Street 2 _____ City _____ State _____ Zip _____		
Item 2. District Code _____ Item 3. Date approved by District M M D D Y Y Y Y		Item 4. District Manager Signature (Required) _____ Item 5. Recommended by (Last, First, MI) _____
Item 6. Social Security Number _____	Item 7. Name (Last, First, Middle Initial) Last: _____ First: _____ MI: _____ _____	Address if card is sent to the instructor Item 8. Use instructor name and address for contact? Yes <input type="checkbox"/> No <input type="checkbox"/> Item 9. Monitor status? Yes <input type="checkbox"/> No <input type="checkbox"/> Date monitored _____ Monitor Comments: _____ Item 10. Select how instructor was trained: Designated Instructor <input type="checkbox"/> Ex T Instructor <input type="checkbox"/> Item 11. Type of Instructor: (a) Other <input type="checkbox"/> (M) MSHA <input type="checkbox"/> (C) Cooperative <input type="checkbox"/> (S) State <input type="checkbox"/> Item 12. Instructor's approval status: (A) <input type="checkbox"/> (F) <input type="checkbox"/> Item 13. Instructor's address: Alt#: _____ Street 1: _____ Street 2: _____ City: _____ State: _____ Zip: _____
Item 8. Social Security Number _____	Item 7. Name (Last, First, Middle Initial) Last: _____ First: _____ MI: _____ _____	Item 14. Codes CH <input type="checkbox"/> CI <input type="checkbox"/> CS <input type="checkbox"/> CZ <input type="checkbox"/> EB <input type="checkbox"/> EC <input type="checkbox"/> ED <input type="checkbox"/> EE <input type="checkbox"/> FH <input type="checkbox"/> IS <input type="checkbox"/> TU <input type="checkbox"/> MR <input type="checkbox"/> MS <input type="checkbox"/> Item 15. Limitations by Section 42.5 <input type="checkbox"/> 42.6 <input type="checkbox"/> 42.7 <input type="checkbox"/> 42.8 <input type="checkbox"/> 42.9 <input type="checkbox"/> 42.10 <input type="checkbox"/> 42.11 <input type="checkbox"/> Code Limitations by Section IS <input type="checkbox"/> TU <input type="checkbox"/> Both <input type="checkbox"/> BC <input type="checkbox"/> EH <input type="checkbox"/> EP <input type="checkbox"/> EX <input type="checkbox"/> FA <input type="checkbox"/> GC <input type="checkbox"/> HA <input type="checkbox"/> FH <input type="checkbox"/> HS <input type="checkbox"/> MG <input type="checkbox"/> PA <input type="checkbox"/> RD <input type="checkbox"/> RV <input type="checkbox"/> SM <input type="checkbox"/> SR <input type="checkbox"/> ST <input type="checkbox"/> TC <input type="checkbox"/> WE <input type="checkbox"/> Item 14. Codes CH <input type="checkbox"/> CI <input type="checkbox"/> CS <input type="checkbox"/> CZ <input type="checkbox"/> EB <input type="checkbox"/> EC <input type="checkbox"/> ED <input type="checkbox"/> EE <input type="checkbox"/> FH <input type="checkbox"/> IS <input type="checkbox"/> TU <input type="checkbox"/> MR <input type="checkbox"/> MS <input type="checkbox"/> Item 15. Limitations by Section 42.5 <input type="checkbox"/> 42.6 <input type="checkbox"/> 42.7 <input type="checkbox"/> 42.8 <input type="checkbox"/> 42.9 <input type="checkbox"/> 42.10 <input type="checkbox"/> 42.11 <input type="checkbox"/> Code Limitations by Section IS <input type="checkbox"/> TU <input type="checkbox"/> Both <input type="checkbox"/> BC <input type="checkbox"/> EH <input type="checkbox"/> EP <input type="checkbox"/> EX <input type="checkbox"/> FA <input type="checkbox"/> GC <input type="checkbox"/> HA <input type="checkbox"/> HR <input type="checkbox"/> HS <input type="checkbox"/> MG <input type="checkbox"/> PA <input type="checkbox"/> RD <input type="checkbox"/> RV <input type="checkbox"/> SM <input type="checkbox"/> SR <input type="checkbox"/> ST <input type="checkbox"/> TC <input type="checkbox"/> WE <input type="checkbox"/>

EDUCATION AND TRAINING PROCEDURES HANDBOOK

<p>Item 6. Social Security Number</p> <p>_____</p>	<p>Item 7. Name (Last, First, Middle Initial)</p> <p>Last _____</p> <p>First _____</p> <p>MI _____</p>	<p>Address: If card is sent to the instructor</p> <p>Item 8. Use instructor name and address for contact? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Item 9. Monitor status? Yes <input type="checkbox"/> No <input type="checkbox"/> Date monitored _____</p> <p>Monitor Comments _____</p> <p>Item 10. Select how instructor was trained: Designated Instructor <input type="checkbox"/> E&T Instructor <input type="checkbox"/></p> <p>Item 11. Type of Instructor: (C) Other <input type="checkbox"/> (M) MSHA <input type="checkbox"/> (C) Cooperative <input type="checkbox"/> (S) State <input type="checkbox"/></p> <p>Item 12. Instructor's approval status: (A) <input type="checkbox"/> (F) <input type="checkbox"/></p> <p>Item 13. Instructor's address:</p> <p>Attn: _____</p> <p>Street 1: _____</p> <p>Street 2: _____</p> <p>City: _____ State: _____ Zip: _____</p>
<p>Item 6. Social Security Number</p> <p>_____</p>	<p>Item 7. Name (Last, First, Middle Initial)</p> <p>Last _____</p> <p>First _____</p> <p>MI _____</p>	<p>Item 8. Use instructor name and address for contact? Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>Item 9. Monitor status? Yes <input type="checkbox"/> No <input type="checkbox"/> Date monitored _____</p> <p>Monitor Comments _____</p> <p>Item 10. Select how instructor was trained: Designated Instructor <input type="checkbox"/> E&T Instructor <input type="checkbox"/></p> <p>Item 11. Type of Instructor: (C) Other <input type="checkbox"/> (M) MSHA <input type="checkbox"/> (C) Cooperative <input type="checkbox"/> (S) State <input type="checkbox"/></p> <p>Item 12. Instructor's approval status: (A) <input type="checkbox"/> (F) <input type="checkbox"/></p> <p>Item 13. Instructor's address:</p> <p>Attn: _____</p> <p>Street 1: _____</p> <p>Street 2: _____</p> <p>City: _____ State: _____ Zip: _____</p>

Certification and Qualification Examination Report

This form is affected by the Privacy Act of 1974

Item 1. Company Name and Address (If the address below is blank, cards will be sent to address selected in item 7.)

Mine Name: _____

Altn: _____

Street 1: _____

Street 2: _____

City: _____

State: _____ Zip: _____

MSHA Form 5000-17

U.S. Department of Labor
Mine Safety and Health Administration

Not a public-use form

Item 2. MSHA State

Item 3. Mine ID _____ or Contractor ID _____

Date of Exam: M M D D Y Y Y Y

Item 4. APPROE No. (MSHA only) _____

Item 5. Examiner's Last, First, and Middle Initial _____

Item 6. State Where Exam Was Given _____

	Item 7. Social Security Number	Item 8. Name (Last, First, MI)	Item 9. Address If Sent To The Miner	Item 10. Test Codes
1.	Select where cards are to be sent <input type="checkbox"/> Mine Address <input type="checkbox"/> Contractor Address <input type="checkbox"/> Company Address <input type="checkbox"/> Miner Address	Last: _____ First: _____ MI: _____	Altn: _____ Street 1: _____ Street 2: _____ City: _____ State: _____ Zip: _____	Electrical Codes: ZH <input type="checkbox"/> ZK <input type="checkbox"/> ZN <input type="checkbox"/> ZO <input type="checkbox"/> New Methane/Oxygen: XS <input type="checkbox"/> XU <input type="checkbox"/> Impoundment Blast: ZE <input type="checkbox"/> ZK <input type="checkbox"/>
2.	Select where cards are to be sent <input type="checkbox"/> Mine Address <input type="checkbox"/> Contractor Address <input type="checkbox"/> Company Address <input type="checkbox"/> Miner Address	Name (Last, First, MI) Last: _____ First: _____ MI: _____	Address If Sent To The Miner Altn: _____ Street 1: _____ Street 2: _____ City: _____ State: _____ Zip: _____	Test Codes: Electrical Codes: ZH <input type="checkbox"/> ZK <input type="checkbox"/> ZN <input type="checkbox"/> ZO <input type="checkbox"/> New Methane/Oxygen: XS <input type="checkbox"/> XU <input type="checkbox"/> Impoundment Blast: ZE <input type="checkbox"/> ZK <input type="checkbox"/>
3.	Select where cards are to be sent <input type="checkbox"/> Mine Address <input type="checkbox"/> Contractor Address <input type="checkbox"/> Company Address <input type="checkbox"/> Miner Address	Name (Last, First, MI) Last: _____ First: _____ MI: _____	Address If Sent To The Miner Altn: _____ Street 1: _____ Street 2: _____ City: _____ State: _____ Zip: _____	Test Codes: Electrical Codes: ZH <input type="checkbox"/> ZK <input type="checkbox"/> ZN <input type="checkbox"/> ZO <input type="checkbox"/> New Methane/Oxygen: XS <input type="checkbox"/> XU <input type="checkbox"/> Impoundment Blast: ZE <input type="checkbox"/> ZK <input type="checkbox"/>

EDUCATION AND TRAINING PROCEDURES HANDBOOK

Item 7. Social Security Number	Item 8. Name (Last, First, MI)	Item 9. Address If Sent To The Miner	Item 10. Test Codes
_____ Select where cards are to be sent <input type="checkbox"/> Mine Address <input type="checkbox"/> Contractor Address <input type="checkbox"/> Company Address <input type="checkbox"/> Miner Address	Last _____ First _____ MI _____	Alt#: _____ Street 1: _____ Street 2: _____ City: _____ State: _____ Zip: _____	Electrical Codes ZN <input type="checkbox"/> ZO <input type="checkbox"/> ZH <input type="checkbox"/> ZK <input type="checkbox"/> ZJ <input type="checkbox"/> ZM <input type="checkbox"/> Impoundment Blast XS <input type="checkbox"/> XU <input type="checkbox"/> ZE <input type="checkbox"/> ZX <input type="checkbox"/>
Social Security Number _____			
Name (Last, First, MI)			
_____ Select where cards are to be sent <input type="checkbox"/> Mine Address <input type="checkbox"/> Contractor Address <input type="checkbox"/> Company Address <input type="checkbox"/> Miner Address	Last _____ First _____ MI _____	Alt#: _____ Street 1: _____ Street 2: _____ City: _____ State: _____ Zip: _____	Electrical Codes ZN <input type="checkbox"/> ZO <input type="checkbox"/> ZH <input type="checkbox"/> ZK <input type="checkbox"/> ZJ <input type="checkbox"/> ZM <input type="checkbox"/> Impoundment Blast XS <input type="checkbox"/> XU <input type="checkbox"/> ZE <input type="checkbox"/> ZX <input type="checkbox"/>
Social Security Number _____			
Name (Last, First, MI)			
_____ Select where cards are to be sent <input type="checkbox"/> Mine Address <input type="checkbox"/> Contractor Address <input type="checkbox"/> Company Address <input type="checkbox"/> Miner Address	Last _____ First _____ MI _____	Alt#: _____ Street 1: _____ Street 2: _____ City: _____ State: _____ Zip: _____	Electrical Codes ZN <input type="checkbox"/> ZO <input type="checkbox"/> ZH <input type="checkbox"/> ZK <input type="checkbox"/> ZJ <input type="checkbox"/> ZM <input type="checkbox"/> Impoundment Blast XS <input type="checkbox"/> XU <input type="checkbox"/> ZE <input type="checkbox"/> ZX <input type="checkbox"/>
Social Security Number _____			
Name (Last, First, MI)			
_____ Select where cards are to be sent <input type="checkbox"/> Mine Address <input type="checkbox"/> Contractor Address <input type="checkbox"/> Company Address <input type="checkbox"/> Miner Address	Last _____ First _____ MI _____	Alt#: _____ Street 1: _____ Street 2: _____ City: _____ State: _____ Zip: _____	Electrical Codes ZN <input type="checkbox"/> ZO <input type="checkbox"/> ZH <input type="checkbox"/> ZK <input type="checkbox"/> ZJ <input type="checkbox"/> ZM <input type="checkbox"/> Impoundment Blast XS <input type="checkbox"/> XU <input type="checkbox"/> ZE <input type="checkbox"/> ZX <input type="checkbox"/>
Social Security Number _____			
Name (Last, First, MI)			

Item 11. Signature of Examiner _____ W D Y Y Y Y Y Y
 (I certify that the above individuals have completed the course(s) indicated) Item 12. Today's Date

False certification is punishable under Section 110(a) and Health Act (PL 91-173 as amended by PL 95-164).

Health Activity Certification or Hoisting Engineer Qualification Request Form <small>continued from page 1</small>		U.S. Department of Labor Mine Safety and Health Administration		Item 8. Certifications		Item 7. Certifications		Item 6. Hoisting	
Item 3. Social Security Number	Item 5. Name (Last, First, Middle Initial)	Item 8. Address if cards are to be sent to miner				Underground Only	Surface Only	Underground	Surface
4. <input type="text"/> Item 4. Select where the cards are to be sent: <input type="checkbox"/> Mine Address <input type="checkbox"/> Contractor <input type="checkbox"/> Company Address <input type="checkbox"/> Miner Address	Last <input type="text"/> First <input type="text"/> MI <input type="text"/>	Atnr. <input type="text"/> Street 1 <input type="text"/> Street 2 <input type="text"/> City <input type="text"/> State <input type="text"/> Zip <input type="text"/>				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. <input type="text"/> <input type="checkbox"/> Mine Address <input type="checkbox"/> Contractor <input type="checkbox"/> Company Address <input type="checkbox"/> Miner Address	Last <input type="text"/> First <input type="text"/> MI <input type="text"/>	Atnr. <input type="text"/> Street 1 <input type="text"/> Street 2 <input type="text"/> City <input type="text"/> State <input type="text"/> Zip <input type="text"/>				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6. <input type="text"/> <input type="checkbox"/> Mine Address <input type="checkbox"/> Contractor <input type="checkbox"/> Company Address <input type="checkbox"/> Miner Address	Last <input type="text"/> First <input type="text"/> MI <input type="text"/>	Atnr. <input type="text"/> Street 1 <input type="text"/> Street 2 <input type="text"/> City <input type="text"/> State <input type="text"/> Zip <input type="text"/>				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7. <input type="text"/> <input type="checkbox"/> Mine Address <input type="checkbox"/> Contractor <input type="checkbox"/> Company Address <input type="checkbox"/> Miner Address	Last <input type="text"/> First <input type="text"/> MI <input type="text"/>	Atnr. <input type="text"/> Street 1 <input type="text"/> Street 2 <input type="text"/> City <input type="text"/> State <input type="text"/> Zip <input type="text"/>				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Return to:
 MSHA Classification & Certification
 P.O. Box 35367
 Denver, CO 80226

Item 10. Signature for Hoisting Qualification Request
 (Not valid unless signed) _____

Item 11. Date _____

Item 12. Signature for Activity Certification Request
 (Not valid unless signed) _____

Item 13. Date _____

I certify that the persons listed are qualified to operate the type of hoist shown above, as a coal miner, that they had at least one year experience associated with this type of hoisting equipment and successfully operated a hoist at mine for a period of six months immediately preceding this application.

False certification is punishable under section 1104(a) and (f) of the Federal Mine Safety and Health Act (PL 95-104) as amended by PL 95-104.

I certify that the information in this application is correct and that each person listed has had at least two years experience as a coal miner or equivalent experience and meets all applicable requirements of sections 75.100 and 77.100.

False certification is punishable under section 1104(a) and (f) of the Federal Mine Safety and Health Act (PL 95-104) as amended by PL 95-104.

EDUCATION AND TRAINING PROCEDURES HANDBOOK

<p>Certificate of Training</p>	<p align="center">U.S. Department of Labor Mine Safety and Health Administration</p>																																												
<p>Approved OMB Number 1219-0070, Expires November 30, 2004. This certificate is required under Public Law 91-173 as amended by Public Law 95-164. Failure to comply may result in penalties and other sanctions as provided by sections 108 and 110, Public Law 91-173 as amended by Public Law 95-164.</p>																																													
<p>➔ Issue Certificate Immediately Upon Completion of Training</p>	<p>Serial Number (for operator's use)</p>																																												
<p>1. Print Full Name of Person Trained (first, middle, last)</p>																																													
<p>2. Check Type of Approved Training Received:</p> <p> <input type="checkbox"/> Annual Refresher <input type="checkbox"/> Experienced Miner <input type="checkbox"/> Hazard Training <input type="checkbox"/> New Task (specify below) <input type="checkbox"/> Newly Employed, Inexperienced Miner <input type="checkbox"/> Other (specify) </p>																																													
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th rowspan="2">Date</th> <th rowspan="2">Task</th> <th colspan="2">Initials</th> <th rowspan="2">Date</th> <th rowspan="2">Task</th> <th colspan="2">Initials</th> </tr> <tr> <th>Instr</th> <th>Stud</th> <th>Instr</th> <th>Stud</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </tbody> </table>		Date	Task	Initials		Date	Task	Initials		Instr	Stud	Instr	Stud																																
Date	Task			Initials				Date	Task	Initials																																			
		Instr	Stud	Instr	Stud																																								
<p>3. Check Type of Operation and Related Industry:</p> <p>A. <input type="checkbox"/> Surface <input type="checkbox"/> Construction <input type="checkbox"/> Underground <input type="checkbox"/> Shaft & Slope B. <input type="checkbox"/> Coal <input type="checkbox"/> Metal <input type="checkbox"/> Nonmetal</p>																																													
<p>4. Date Training Requirements Completed</p> <p align="right"><input type="checkbox"/> Check if not completed and go to item 5, below.</p>																																													
<p>➔ If completed, go to item 6, below.</p>																																													
<p>5. Check Subjects Completed (use only for partially completed training):</p> <table style="width: 100%;"> <tr> <td><input type="checkbox"/> Introduction to Work Environment</td> <td><input type="checkbox"/> Roof/Ground Control & Ventilation</td> <td><input type="checkbox"/> Health</td> </tr> <tr> <td><input type="checkbox"/> Hazard Recognition</td> <td><input type="checkbox"/> Mine Map; Escapeways; Emergency Evacuation; Barricading</td> <td><input type="checkbox"/> Electrical Hazards</td> </tr> <tr> <td><input type="checkbox"/> Emergency Medical Procedures</td> <td><input type="checkbox"/> Cleanup; Rock Dusting</td> <td><input type="checkbox"/> First Aid</td> </tr> <tr> <td><input type="checkbox"/> H&S Aspects of Tasks Assigned</td> <td><input type="checkbox"/> Mandatory Health & Safety Standards</td> <td><input type="checkbox"/> Mine Gases</td> </tr> <tr> <td><input type="checkbox"/> Statutory Rights of Miners</td> <td><input type="checkbox"/> Authority & Responsibility of Supervisors & Miners' Representatives</td> <td><input type="checkbox"/> Explosives</td> </tr> <tr> <td><input type="checkbox"/> Self-Rescue & Respiratory Devices</td> <td></td> <td><input type="checkbox"/> Prevention of Accidents</td> </tr> <tr> <td><input type="checkbox"/> Transport & Communication Systems</td> <td></td> <td><input type="checkbox"/> Other (specify)</td> </tr> </table>		<input type="checkbox"/> Introduction to Work Environment	<input type="checkbox"/> Roof/Ground Control & Ventilation	<input type="checkbox"/> Health	<input type="checkbox"/> Hazard Recognition	<input type="checkbox"/> Mine Map; Escapeways; Emergency Evacuation; Barricading	<input type="checkbox"/> Electrical Hazards	<input type="checkbox"/> Emergency Medical Procedures	<input type="checkbox"/> Cleanup; Rock Dusting	<input type="checkbox"/> First Aid	<input type="checkbox"/> H&S Aspects of Tasks Assigned	<input type="checkbox"/> Mandatory Health & Safety Standards	<input type="checkbox"/> Mine Gases	<input type="checkbox"/> Statutory Rights of Miners	<input type="checkbox"/> Authority & Responsibility of Supervisors & Miners' Representatives	<input type="checkbox"/> Explosives	<input type="checkbox"/> Self-Rescue & Respiratory Devices		<input type="checkbox"/> Prevention of Accidents	<input type="checkbox"/> Transport & Communication Systems		<input type="checkbox"/> Other (specify)																							
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<input type="checkbox"/> Self-Rescue & Respiratory Devices		<input type="checkbox"/> Prevention of Accidents																																											
<input type="checkbox"/> Transport & Communication Systems		<input type="checkbox"/> Other (specify)																																											
<p>6. False certification is punishable under section 110 (a) and (f) of the Federal Mine Safety & Health Act (P. L. 91-173 as amended by P. L. 95-164).</p>	<p>I certify that the above training has been completed (signature of person responsible for training)</p>																																												
<p>7. Mine Name, ID, & Location of Training (if institution, give name & address)</p>																																													
<p>8. Date</p>	<p>I verify that I have completed the above training (signature of person trained)</p>																																												
<p>MSHA Form 5000-23, Jan. 99 (revised) Copy 1 - Employer's Personnel Record</p>																																													

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Chapter VII - State Grants Program

A. Mission Statement

The Mine Safety and Health Administration (MSHA) State Grants Program provides Federal resources to assist States in providing safety and health training and developing programs to improve mine health and safety conditions.

B. Introduction

Section 503 of the Federal Mine Safety and Health Act of 1977 (Mine Act) authorizes MSHA to award grants to any State in which coal or other mining takes place, for the purpose of assisting the States in developing and enforcing effective coal or other mine health and safety laws and regulations; improving State workers' compensation and occupational disease laws and programs related to coal or other mine employment; and promoting Federal-State coordination and cooperation in improving the health and safety conditions in the coal or other mines. Over the years, it has been found that the greatest need to be funded is for providing miner training.

C. Availability of Funds

On an annual basis, the Congress makes Federal resources available to the states through MSHA. These funds are not part of MSHA's general operating budget. The resources are only available for the states to use in support of their specialized mine safety and health training activities and programs.

D. Eligibility Requirements

Eligibility for grants under this program is limited by statute to any mining state of the United States, any federally recognized Indian Tribal government, the District of Columbia, the Commonwealth of Puerto Rico, and any territory or possession of the United States, or any agency or instrumentality of a State. Applications submitted by a State, through the state agency designated by the Governor as responsible for administering the grant awarded for the specified purposes in the Mine Act, will be approved. State official mine inspection or safety agencies have the responsibility under the Mine Act to employ a staff of qualified trainers to provide health and safety training for miners.

E. Funding and Assistance Considerations

Grants are made on an annual basis. Basic funding levels for each state are calculated using a formula based on the number of mines and miners in each of the respective states.

The Mine Act authorizes MSHA to make grants to State and local governments for up to eighty percent of the costs of developing and carrying out approved projects, with the grantee being responsible for the remaining percentage, which includes the minimum required match of twenty percent.

There are specific exceptions to allowable contributions which may be applied to the grantee's minimum twenty percent match requirement. The State may meet the minimum twenty percent match requirement by:

1. Contributing state resources (dollars) [hard match];
2. Contributing in-kind services [soft match];
 - a. In-kind contributions may represent the value of non-cash contributions provided to the grantee by other public agencies and institutions, and by private organizations and individuals, or,
 - b. In-kind contributions may consist of charges for real property and equipment, and the value of goods and services directly benefiting and specifically identifiable to the grant program.
3. Generating program income by charging for training and other services they provide [hard match]; or,
4. Using a combination of methods listed above as long as the total value of the contribution equals the minimum twenty percent match requirement [hard and soft match].

F. Overview of Program

State programs address mine accident trends and utilize a variety of instructional delivery methods. On-site training classes where the miners work is the approach most often used and found to be the most effective. Emphasis is placed on helping those mining operations which are less able to provide quality health and safety training themselves due to limited resources, typically small mines. Special programs such as prevention of haulage accidents and making miners aware of the hazards of overexposure to silica or respirable dust are presented to address specific mine accidents and injuries and prevention of occupational health diseases.

The MSHA Grant Program is a partnership for several reasons: First, both parties contribute a portion of the funds; 80% Federal and 20% State. Second, the grant

solicitation process allows everyone to identify current training needs that will be addressed with the funds. Third, MSHA and the states share the common goal of working to improve the health and safety environments in the mines through education and training, so that miners do not need to face the risk of death and disease as a routine part of their jobs. MSHA benefits from a good working relationship with the state grant programs in that, the state programs are actually the “front line” source for providing mine safety and health training and education to miners and contract employees working at mining properties. As a partner with the States, MSHA takes an active role in providing support to the States’ programs and activities. MSHA helps in “problem-solving” issues and concerns, specifically in the areas of MSHA regulations, trends in mining accidents and injuries, and identification of health and safety hazards in the mining community.

The MSHA Grant Program Office encourages communication between the grant recipients and MSHA -- the headquarters’ and field Grant Program Office’s staff, the Educational Field Services’ (EFS) and the Small Mine Safety and Health Office’s staff, and the districts’ and field offices’ personnel. Typically, the grantees contact the MSHA Grant Program Office for advice or instruction on Federal regulations concerning allowableness and allocability of costs and appropriateness of program activities. Providing the grantees with accurate information and guidance on such issues is the responsibility of the MSHA Grant Program Office, MSHA’s Finance Office, and the Grant Officer. Questions of this nature brought to the EFS staff or the staff of the Small Mines Office should be referred to the MSHA Grants Program Office.

Routine questions or concerns which are related to MSHA policy on training and education are more appropriately handled in the field by the EFS Team Leaders and training specialists. Questions or issues which are unique or require policy interpretation should be referred to the Chief of the Division of Policy and Program Coordination.

G. Responsibilities for MSHA State Grants Program

1. Assistant Secretary for Mine Safety and Health. The Assistant Secretary is responsible for approving the award of grants authorized under Section 503 of the Mine Act.
2. Director of Educational Policy and Development (EPD). The Director is responsible for administering the State Grants Program that provides Federal funds to state agencies to supplement the states’ mine safety and health programs.
3. Chief, Division of Policy and Program Coordination (DPPC). The Chief provides guidance and instruction on policy interpretation and unique training issues. The Chief is responsible for the overall operations of the State Grants Program.

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4. State Grants Program Manager (SGPM). The Manager, who is in the DPPC, is responsible for the management of the State Grants Program. The SGPM ensures that applications from State agencies meet program requirements, provides guidance and instruction on Federal regulations concerning allowableness and allocability of costs and appropriateness of program activities and coordinates on-site evaluations of each state's performance according to its approved program.
5. Program Analyst. The Program Analyst, also within DPPC, maintains electronic file for Mid-Year Technical Progress Reports and End-Year Accomplishment Reports submitted by grant recipients.
6. Director of Administration and Management (A&M). The Director is responsible for providing administrative support necessary to carry out the State Grants Program.
7. Director, Acquisition Management Division (AMD). The Director is responsible for the administrative and contractual processing of applications for, modifications to, contractual audits of, and close-outs of State grants. The Director is responsible for ensuring that grant actions meet administrative and contractual requirements applicable to awarding and administering grants.
8. Chief, Finance Branch (FB), Budget and Finance Division. The Chief is responsible for providing financial support services necessary to carry out the State Grants Program.

H. EPD State Grant Program Evaluation Process

1. State grant programs are selected for evaluation based on established criteria. Criteria for selecting particular state training programs may include but are not limited to:
 - a. A request from MSHA headquarters, MSHA District Offices, mine operators, representatives of miners, the Congress, mining associations, or state grantees. Each request will not automatically result in an on-site review. The facts of each special request will be considered to determine if an on-site evaluation will be scheduled.
 - b. A significant change in grant administration has occurred. The facts or nature of each case will determine the scheduling of an on-site evaluation. Significant changes may include, but are not limited to:
 - 1) a change in the designated grant recipient;

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- 2) a change in senior management; or
 - 3) major changes in state policy or procedures.
- c. A significant change in grant performance has occurred or a deviation from the grant agreement particularly in areas such as the numbers of miners trained, courses or programs, or mine types. The nature and extent of the changes will be considered in determining an on-site evaluation.
2. An evaluation team is identified using members from the Division of Policy and Program Coordination (DPPC), Acquisition Management Division (AMD), Office of Diversity and Equal Opportunity (ODEO), and appropriate representatives from the EFS regional field offices. Team members are responsible for:
- a. DPPC - conducting an evaluation of programmatic activities, including examining standard operating procedures (SOPs), evaluation systems, training records, technical reports, and other documents to ensure compliance with the grant terms and conditions.
 - b. AMD - conducting a review of the program's administrative and accountability systems to assure MSHA that the grant program is in compliance with OMB Circulars and MSHA policies and procedures.
 - c. ODEO – conducting a review of the grant recipient's practices related to hiring and compliance with Title VI.
 - d. EFS - conducting interviews with grant program clients, including miners and miners' representatives, and monitoring one or more state training program class(es).

I. Procedures for Conducting Program Evaluation

1. Division of Policy and Program Coordination
 - a. Grant Program Manager
 - 1) select state training programs to be reviewed during grant period.
 - 2) provide review team leader with assigned state's mining industry profile.

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- 3) track state training program's efforts to resolve issues or findings in grant review report.
 - 4) communicate with grantee when all issues or concerns have been resolved.
 - 5) retain electronic and manual reports written to document reviews of state training programs.
- b. Review Team Leader
- 1) contact grant recipient to coordinate date to conduct program review.
 - 2) contact Director of A&M, Director of ODEO, and the appropriate EFS Regional Manager to request personnel from their respective offices to participate on the review team.
 - 3) review State's mining profile and grant agreement documents prior to on-site review.
 - 4) meet with grant recipient and grant personnel (as requested by the grant recipient to be in the meeting) to discuss the process of conducting the on-site program review. Share information and interview questions used to conduct the review.
 - 5) coordinate review team members interview sessions to ensure that all team members have access to and time with appropriate grant training program personnel.
 - 6) conduct interviews with appropriate grant training program personnel using the MSHA Grant Program Review Programmatic Section.
 - 7) write report documenting grant training program review. Collect review team members' notes documenting interviews or documents reviewed for record retention. Distribute report to the appropriate MSHA personnel and grant recipient.
- c. Program Analyst
- 1) maintain electronic file for Mid-Year Technical Progress Reports and End-Year Accomplishments Reports submitted by grant recipients. Provide EPD management or other MSHA personnel with statistical information on

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output of grant recipients (numbers of miners and contractors trained during a specified period of time).

- 2) maintain electronic file for final reports written to document the reviews of state training programs.
2. Acquisition Management Division
 - a. Conduct interviews with appropriate grant training program personnel using the MSHA Grant Program Review Administrative Section.
 - b. Write report documenting review of systems for administering and managing Federal resources and submitting reports to MSHA.
 - c. Submit notes and other materials documenting findings or issues identified during review to the review team leader.
 3. Office of Diversity and Equal Opportunity
 - a. Conduct interviews with appropriate grant training program personnel or Human Resources Office.
 - b. Submit notes and other materials documenting findings or issues discovered during review to the review team leader.
 4. Educational Field Services
 - a. Interview clients, including miners and miners' representatives.
 - 1) Obtain a list of current clients, addresses and telephone numbers from state training program manager. Select a random sampling of clients which represent the profile of the mining industry in the state (i.e. underground and surface, large and small, coal and metal/nonmetal mines).
 - 2) Conduct interviews with clients of state training program, including miners and miners' representatives, to determine customer satisfaction regarding the grant program's services, if the training was effective, and if the training met the client's and miners' training needs and expectations. Interviews are to be conducted using the Client Interview Questions and Miners and Miners' Representative Interview Questions provided by State Grant Program Office.

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- b. Monitor training class(es).
 - 1) Obtain a schedule of training classes from the state training program manager and select class(es) to monitor.
 - 2) Verify that the instructor is an MSHA approved instructor (for Part 48 training classes); or, that the instructor is a “competent person” (for Part 46 classes).
 - 3) Use Instructor Evaluation sheets to conduct an evaluation of the instructor and course curricula presented to miners. The instructor should:
 - a) meet and work with the mine operators prior to training classes;
 - b) make their courses mine specific;
 - c) use the mines’ training plans; and
 - d) coordinate with MSHA District and field personnel.
 - 4) The course curricula should:
 - a) define clearly what the miners must know and do;
 - b) have measurable performance objectives;
 - c) include lesson plans based on the objectives;
 - d) provide students opportunities to practice new skills;
 - e) evaluate the knowledge and skills achieved as specified in the objectives of the training class; and
 - f) focus on reducing mining accidents and injuries and improving health and safety.
 - 5) Determine whether the training presented corresponds with the contents of the approved training plan(s).
 - 6) Review Training Certificates (5000-23) or Training Records completed by the instructor.

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- 7) Review Student Evaluation Forms (generated by state training program), if available.
- 8) Submit notes and other materials documenting findings or issues discovered during evaluation of instructor and/or monitoring of class (course curricula) to the review team leader.

Chapter VIII - Joseph A. Holmes and Holmes Safety Associations

The Joseph A. Holmes Safety Association was founded in 1916 by 24 leading national organizations of the mining industries. The Joseph A. Holmes Safety Association is named to commemorate the first Director of the Bureau of Mines for his efforts in reducing accidents and illness throughout the minerals industries.

The Holmes Safety Association was created as a subsidiary organization under the auspices of the Joseph A. Holmes Safety Association. Discussions began in 1921 regarding the creation of the Holmes Safety Association. Five years later, in 1926, the Board of Directors of the Joseph A. Holmes Safety Association (JAHSA) established the Holmes Safety Association (HSA). They granted authority for HSA to assume the direction and control of all existing chapters and all new branches or divisions.

Joseph A. Holmes Safety Association

The purpose of the Association is to reduce accidents and illnesses, and to promote principles of safety and conservation of life in the mining industries.

For assistance with JAHSA activities contact:

Educational Policy and Development
1100 Wilson Boulevard, 21st floor
Arlington, Virginia 22209-3939

Telephone: (202) 693-9574

A. District Participation

1. Districts are requested to promote the importance of safety and health programs with mine operators and company officials by discussing the purpose of the JAHSA and MSHA's commitment to their purpose.
2. Districts receive a computer printout annually of the operations in their District that may be eligible for awards. The Districts should contact the operators and explain the program and the importance of attaining excellent safety records. They should assist the operator in completing the necessary information when appropriate.

B. Awards and Award Criteria

Acts of heroism and issuing awards were one of the original purposes of the Association, and used to constitute the major activity of the organization. The Hero awards have been awarded on an annual basis since 1919. In a number of instances, the persons performing these heroic acts have lost their lives in attempting to save the life of a fellow miner.

Use the application forms at the end of this chapter to make copies. Applications for all of the awards should be mailed to:

Joseph A. Holmes Safety Association
Mine Safety and Health Administration
P.O. Box 9375
Arlington, Virginia 22219
ATTN: Secretary/Treasurer

Award criteria is as follows:

Type "A-1" Awards--for Acts of Heroism

These awards for personal heroism and for distinguished services in the saving of a life are given regardless of whether the act was performed in the line of duty or elsewhere by an active or inactive employee of any branch of mining, quarrying, and mineral industries. The awards are medals, with Medal of Honor Certificates and Certificates of Honor.

The committee may also recommend awards for individuals who commit heroic acts while temporarily associated with the mineral extractive industries. Applications must be submitted within two years of the date the incident occurred.

Individuals involved in a group action who displayed extraordinary courage may be singled out for a Medal of Honor Award with the others receiving Certificates of Honor.

Medal of Honor Awards are given for any one or combination of the following actions:

1. In the performance of an act to save life, the individual loses his or her own life.
2. In the performance of an act, the individual seriously risks his or her own life, but saves the lives of one or more persons.

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3. Attempting at serious risk of his or her own life to save the life of one or more persons without success.

Certificates of Honor are given for any one or combination of the following actions:

1. Assisting in saving a life, at some personal risk, while working under the direction of another person.
2. Removing or assisting in removing the subject from an electrified circuit at some personal risk.
3. Exhibiting skill in modern lifesaving methods and practices in an effort to save life while also taking some personal risk.
4. Giving warning at personal risk of impending danger to others.
5. Directing individuals to a place of safety while exposed to some personal danger.
6. Staying at his or her post of duty in presence of impending danger to self and others.
7. Assisting with others collectively at personal risk to save the lives of one or more persons.

The work of trained mine rescue teams does not normally constitute eligibility for Type A awards. Extraordinary cases will receive consideration.

The following information is required on applications and must be submitted in time to reach the Secretary/Treasurer of the Association by February 15:

1. Name and occupation of each person recommended for an award.
2. Name and address of employer.
3. MSHA mine identification number.
4. Place and date of the incident.
5. Name of other person or persons involved.
6. Complete details of the occurrence and the degree of risk involved.

Type "A-2" Awards--for Life Savers

This award is given for saving or attempting to save a life using modern life saving techniques and/or quick and appropriate action in an attempt to save a life. No risk to the rescuer's own life is required. The recipient of this award receives a *Life Savers Certificate*.

The act may occur in the line of duty or elsewhere by an active or inactive employee of any branch of the mining or related industries. Individuals who are temporarily associated with the mining and related industries may also be eligible.

The act would have to be documented and submitted to the Association's National Council within two years after the occurrence.

The act would consist of one or more of the following actions:

1. Performing mouth-to-mouth or some other type of artificial ventilation.
2. Performing CPR.
3. Performing an anti-choking maneuver.
4. Performing other life saving first aid techniques.
5. The performance of an act involving quick thinking and decision making that prevents others from being seriously injured or prevents the loss of additional life.

The work of trained mine rescue teams, ambulance attendants, or professional health personnel would not normally be eligible for this award. Extraordinary cases will receive consideration.

The Hero Awards Committee must review and approve each case. The Secretary/Treasurer will forward applications to the members of the committee for their review and comment prior to the national meeting each year. The following information must reach the Secretary/Treasurer of the Association by March 1:

1. Name and occupation of each person recommended for an award.
2. Name and address of the person's employer.
3. MSHA mine or contractor identification number, if applicable.

4. Place and date of the incident.
5. Name of other person or persons involved.
6. Complete details of occurrence, including the actions of the individual(s) involved.

Type "B-1" Awards--for Individual Workers

Eligibility for this award requires a minimum of 40 years of cumulative work experience in the mining and related industries without incurring an injury that resulted in lost workdays. **This experience does not include clerical or office work.** Applications for retired persons are also accepted within two years after their retirement date.

Past recipients are eligible for a subsequent award when they have added five or more years to their previous work record without incurring an injury with lost workdays.

The recipient of this award receives a *Certificate of Honor*, a pin and a decal bearing the insignia of the Association containing the number 40. Applications for this type of award must be reviewed and approved by the Safety Awards Committee. This committee meets each year prior to the national meeting. The Secretary/Treasurer will forward all applications to the committee members for their review and comment prior to the meeting.

The Secretary/Treasurer of the Association should receive the following information by February 1:

1. Name and occupation of the person recommended.
2. Name and location of the mine or plant where the person is employed.
3. Name and address of employer(s) and MSHA mine identification number.
4. Type of industry in which the person has worked, such as copper smelter, cement plant, petroleum refinery, coal or metal mine.
5. Principal product.
6. Beginning and ending dates (month, day, year) of the record period.

7. Any other information which might help in considering the case. State whether work experience was underground, surface, or both.
8. Signature of responsible official on the application.

**Type "B-2" Awards--for Individual Officials
(for Record of Group Working Under Their Supervision)**

Supervisors are eligible for this award if their crews have achieved a safety record of no lost-time accidents with 250,000 work-hours underground or 350,000 work-hours on the surface. When a work group achieves the required number of work-hours without incurring a lost workday injury and there have been two or more supervisors during that work record, the work unit may be recognized in lieu of the supervisor. The Association gives only one award for a single record. Two individuals at two different levels of supervision cannot receive an award for the same cited work group record. However, the Association will consider additional awards for individuals who exceed their previous records by 50,000 work-hours or more. The Association will also consider lower man-hour achievements if the record spans more than 5 years. The Association recognizes safety records greater than 20 years without regard to work-hour totals.

The Association does not usually consider officials in policy making capacity for awards unless they are directly responsible for developing the program or directing the work.

The recipient of this award receives a *Certificate of Honor* reflecting the specific accomplishment of the work group supervised by this individual.

Applications for this type of award must be reviewed and approved by the Safety Awards Committee. This committee meets once each year prior to the national meeting. The Secretary/Treasurer will forward all applications to the committee members for their review and comment prior to the meeting.

The Secretary/Treasurer of the Association should receive the following information by February 1:

1. Name and occupational title of the individual recommended, if the name is to appear on the certificate.
2. Name and address of the employer and MSHA mine identification number.
3. Designation or other identity of the work group(s) achieving the record and dates supervised by the recommended individual.

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4. Type of industry, such as copper smelter, cement plant, petroleum refinery, coal or metal mine (underground or surface), and the department making the record.
5. Date of the last injury with lost workdays.
6. Beginning and ending dates (month, day, year) of the period covered by the record.
7. Total work-hours of exposure in the period covered by the record. Applications will not be considered if this information is omitted.
8. Average number of employees supervised by the official during the period covered by the record.

Type "C-1" Awards--Mines/Companies/Organizations

This award recognizes good safety records of companies, safety organizations, mines, quarries, groups of mines or plants (when the grouping includes all the mines or plants in the area or district), and any operating department, except clerical (office). Records must be compiled in the mining and related industries to qualify for this group award. Any operation from extracting the mineral to casting of a metal is eligible. This does not, however, include records in any manufacturing operations. All operations that extract crude oil and natural gas or refine petroleum products are eligible. Petrochemical processing operations are not eligible. At mineral processing plants (such as phosphate, cement, or lime plants), all concentrating, crushing, washing, grinding, drying, and storing operations are eligible for this award.

The Association uses the following criteria in considering Type C-1 awards:

1. A minimum of 4,000,000 work-hours without a fatality or permanent total disability. The record must exceed six calendar months of operation.
2. A minimum of 600,000 work-hours without a lost workday injury. The record must exceed six calendar months of operation.
3. For underground mines, the Association considers proposals that combine injury-free records with fatal or permanent total disability records. When the fatal or permanent total disability record exceeds 3,000,000 work-hours, the Association gives separate awards.

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4. The Association also recognizes improvements in injury rates, either incidence or severity measures or both. Award requirements involve steady, year after year improvement of rates over several years. The Association cannot consider improvements for one year compared to the previous year or average of several previous years.

The recipient of this award receives a *Certificate of Honor* reflecting the specific accomplishment of the mine, company or organization.

Applications for this type of award must be reviewed and approved by the Safety Awards Committee. This committee meets once each year prior to the national meeting. The Secretary/Treasurer will forward all applications to the committee members for their review and comment prior to the meeting.

The Secretary/Treasurer of the Association should receive the following information by February 1:

1. Name and address of the mine, company or organization.
2. Principal product.
3. Name and address of the company and MSHA mine identification number, if applicable.
4. Type of operation (underground, surface, preparation plant, etc.).
5. Name of the immediate supervisor who directed the work, if you want his or her name on the award certificate. (The supervisor cannot receive a separate award for this same record.)
6. Date of the last fatality or permanent total disability if the record is for 4,000,000 work-hours, or date of the last injury with lost workdays if the record is for 600,000 work-hours with no lost workdays; or,
7. Dates of last fatal, permanent disabling and lost workday injury if the record is for 3,000,000 work-hours.
8. Beginning and ending dates (month, day, year) of the record.
9. Average number of employees in the group who achieved the record during the period covered.

10. Total work-hours of exposure in the period covered by the record. The Association cannot consider applications without this figure. Where the record is for steady and notable improvement of the injury rate over several years, the proper data must be submitted for each year.

Other Awards (10/20/30 Years - Individual)

Workers who complete 10, 20, and 30 years without a lost workday injury are eligible to receive Pocket Card Certificates and the following:

30 years--Silver pin and decal bearing the insignia of the Association

20 years--Bronze pin and decal bearing the insignia of the Association

10 years--Decal bearing the insignia of the Association

Clerical or office work time cannot be counted for the 10-, 20-, and 30-year awards.

The Association will provide order forms for the purchase of the pins and decals. A copy of the approval letter must accompany the order form. Employers or individuals are responsible for the cost of the pins and decals. The Association approves only one award of each type (10-, 20-, and 30-year awards) for an individual. The Pocket Card Certificates are forwarded to the employer for presentation.

The accuracy of the information is the employer's responsibility. Employers may want to contact other employers, mining institutes, State departments of mines, local or district unions, or other reliable sources if the employee's work time includes other operations.

The employer may submit applications for the 10-, 20-, and 30-year awards anytime during the year to the Secretary/Treasurer of the Association. Applications are reviewed and approved by the Secretary/ Treasurer who will supply the Pocket Card Certificates and the order forms for the pins and decals.

Type "D-1" Special Awards (for Small Operators)

For a small operation to accumulate the number of work-hours required for an award under the Type C-1 criteria, it would take, in some cases, a time period in excess of the operation's life. To allow smaller operations more timely recognition for their safety efforts, the Association established a reduced number of work-hours for operators with 25 or less employees.

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The recipients of these awards receive *Certificates of Honor*.

The following criteria applies:

1. A minimum of 100,000 work-hours without a fatality or permanent total disability. The record must exceed six calendar months of operation.
2. A minimum of 50,000 work-hours without a lost workday injury. The record must exceed six calendar months of operation.

Applications for this award will be reviewed and approved by the Secretary/Treasurer. The Secretary/Treasurer will prepare an annual report of Special Awards activity for the Executive Committee. The Secretary/Treasurer of the Association should receive the following information by February 1:

1. Name and address of the mine, quarry, plant, or other mineral operation.
2. Principal product.
3. Name and address of the company and MSHA mine identification number.
4. Type of operation (underground, surface, preparation plant, etc.).
5. Name of the immediate supervisor who directed the work, if you want his or her name on the award citation. The supervisor and company do not receive a separate award for the same record.
6. Date of the last fatality or permanent total disability if the record is on a fatal basis, including permanent total disability.
7. Date of the last injury with lost workdays if the record is on the basis of injury with no lost workdays.
8. Beginning and ending dates (month, day, year) of the award period.
9. Average number of employees in the group who achieved the record during covered period.
10. Number of work-hours worked for the period in the application.

Holmes Safety Association

The goal of the Association is prevention of fatalities and injuries and improvement of health-related conditions of all persons connected with the mining and related industries.

HSA State and District Councils provide a forum to recognize those individuals, work groups and companies for special achievements in improving safety and health of the workers. Examples include improving safety by implementing a successful safety program, modifying a work procedure, redesigning equipment, etc.

The Association publishes a periodical, the "Bulletin," approximately 10 times a year that contains useful safety and health information. These books are free of charge to HSA Chapters. They can be a source of information to use in safety and health talks and meetings.

For more information about Chapters and Councils, refer to the publication "Organizing Chapters and Councils for the Holmes Safety Association." For assistance with HSA safety activities, including forming Chapters and Councils, contact:

Educational Policy and Development
1100 Wilson Boulevard, 21st floor
Arlington, Virginia 22209-3939

Telephone: (202) 693-9574

A. Association Activities

1. Hold safety meetings.
2. Organize safety campaigns.
3. Distribute information and instruction on subjects related to the promotion of health and safety and the prevention of fires, explosions or disasters from other causes.
4. Foster cooperation between organizations, including labor, management and State and Federal agencies.
5. Promote education, social, and recreational activities in the mining and related industries.

B. District Participation

1. Districts are requested to promote the HSA safety program to mine operators and company officials and encourage their participation.
2. Districts should have personnel participate in HSA activities when possible.

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**Award Application for Individual
Officials and Work Unit**
(Type B-2 Awards)

JAH USE ONLY

(Please type or print)

Work unit: _____

Supervisor's name: _____

(Complete ONLY if name of supervisor is to appear on the certificate)

Company name: _____

Company address: _____

Street address City State Zip

Type of industry: _____

Copper smelter, cement plant, petroleum refinery, coal or metal, UG or surface, etc.

Dates covered by the record: ____ / ____ / ____ to ____ / ____ / ____
Beginning Ending

Total workhours of exposure covered by the record: _____
Date of last injury with lost workdays: ____ / ____ / ____
Average number of employees supervised by official: _____

MSHA Mine ID #: _____

Names of employees within the work group:

Last four digits of SSN:

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(Use reverse side for additional names)

MAIL COMPLETED FORM TO:

U.S. Department of Labor
Mine Safety & Health Administration
Joseph A. Holmes Safety Association
1100 Wilson Boulevard, Room 2147
Arlington, VA 22209-3939

Internet: zzMSHA-HolmesSA@dol.gov
Telephone: (202) 693-9574
Fax: (202) 693-9571

EDUCATION AND TRAINING PROCEDURES HANDBOOK



**Award Application for Safety Records/
Mines/Companies/Organizations/Small Operators**

(Type C-1 Awards and D-1/Small Operators)

JAH USE ONLY

(Please type or print)

Name: _____
Name of mine/company/organization

Address: _____
Street Address City State Zip

MSHA Mine ID #: _____ **Principal product:** _____
(If applicable) Coal/metal, underground/
surface/preparation plant, etc.

Supervisor's name: _____
(Complete ONLY if name of supervisor is to appear on the certificate)

Dates covered by the record: ____ / ____ / ____ to ____ / ____ / ____
Beginning Ending

Average number of employees during the period covered: _____

If application is for C-1 award fill in item 1. • If application is for D-1 award fill in item 2.

1. Date of last fatality or permanent total disability if the record is for 4,000,000 work hours; or date of the last injury with lost workdays if the record is for 600,000 work hours with no lost workdays; or date of last fatal, permanent disabling and lost workday injury if the record is for 3,000,000 work hours.

Date: ____ / ____ / ____ **Number of work hours:** _____

2. Date of the last fatality or permanent total disability if record is for 100,000 work hours on a fatal basis, including permanent total disability. Date of the last injury with lost workdays if the record is for 50,000 work hours on the basis of injury with no lost workdays.

Date: ____ / ____ / ____ **Number of work hours:** _____

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EDUCATION AND TRAINING PROCEDURES HANDBOOK



**Application for Chapter Membership
Holmes Safety Association**

Mail: U.S. Department of Labor
Mine Safety & Health Administration
Joseph A. Holmes Safety Association
1100 Wilson Blvd, Room 2147
Arlington, VA 22209-3939

Internet: zzMSHA-HolmesSA@dol.gov
Telephone: (202) 693-9574
Fax: (202) 693-9571

Application is hereby made for admission to the Holmes Safety Association. It is understood that this organization will be designated as a Chapter.

Chapter name will be (to be chosen by the organization) _____

_____ Safety Chapter. It will be located at

_____ (organization) _____ (town) _____ (county) _____ (state)

Desired start-up date is _____

Chapter meetings will normally be held _____ of each month.

Membership size will be (number of employees) _____

Type of operation: Underground Surface Mine
 Mill Contractor Other _____

If applicable: Mine Number _____ Contractor Number _____

Describe the product or service of the organization _____

Chapter Representative (Please print or type name and address)

Name and title: _____

Organization Name: _____

Organization Address: _____

Organization Phone No.: _____ Fax No.: _____

Signature of Chapter Representative

We received assistance and/or information on how to apply for
Holmes Safety Membership from _____

To be completed by Holmes Safety Representative

A. Your request for membership is _____

B. Your assigned Chapter Number is _____

Your membership is at no cost and entitles the Chapter to receive monthly Safety Bulletins containing information and articles that will aid in monthly safety meetings. Also, membership allows the Chapter to participate in area Council meetings. Your nearest Holmes Safety Council is _____

To contact the nearest Council official, call (name) _____

at (telephone number) _____

Holmes Safety Representative

EDUCATION AND TRAINING PROCEDURES HANDBOOK



**District/State Council Application
Holmes Safety Association**

Mail application to:

**U.S. Department of Labor
Mine Safety & Health Administration
Joseph A. Holmes Safety Association
1100 Wilson Boulevard, Room 2147
Arlington, VA 22209-3939**

Internet: zzMSHA-HolmesSA@dol.gov
Telephone: (202) 693-9574
Fax: (202) 693-9571

District/State Council Information

(Please type or print)

Date _____ **District/State Council name** _____

Location _____
(City/Town) (County/Province) (State)

Name of MSHA district in your area _____

Mailing address for official correspondence

(Please notify the National office if this address is changed for any reason)

Name of person or company contact _____

Street/PO Box _____ **Telephone** _____

City/Town & State _____

Please provide the following information and update annually

President _____ **Telephone** _____

First Vice President _____

Second Vice President _____

Third Vice President _____

Treasurer _____

Secretary _____ **Telephone** _____

This District Council currently represents the following chapters (minimum of five)

Number/type of operation: UG Sur Plant Mill Other

Check type of products Coal Metals Aggregates Oil/Gas Other (specify) _____

State Council affiliation _____

(If nonaffiliated leave blank)